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Steering Committee

MOPAN 4 Framework and Analytical Guidance

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This document presents the MOPAN 4 Indicator Framework and accompanying Analytical Guidance, detailing its purpose, structure, and innovations aimed at enhancing the assessment of multilateral organizations (MOs). The annexes of this document provide detailed and comprehensive presentation of the MOPAN 4 Theory of Change (Annex A), MOPAN 4 Indicator Framework (Annex B), the Rating Methodology (Annex C) and the Guidance for evidence collection and analysis (Annex D). It is presented for decision under Item 4 of the Steering Committee meeting.

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MOPAN 4 Framework and Analytical Guidance

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Introduction

This document presents an overview of the MOPAN 4 Indicator Framework to the micro-indicator level and Analytical Guidance, with the full versions presented in Annexes. The MOPAN 4 Theory of Change and the overall structure and features of the MOPAN 4 Assessment Framework, approved by the Steering Committee on 26 November 2024[1], have been updated to reflect the final Indicator Framework and Analytical Guidance.

The proposed MOPAN Indicator Framework and Analytical Guidance follow the prior-approved operating principles by the Steering Committee, namely a systematic analysis of an organisation's external and internal working environment; a similar assessment framework structure to MOPAN 3.1 albeit with five performance areas; a single framework applicable to all multilateral organisations (MOs) with a limited number of additional specialised indicators; and the ability to capture MO performance vertically as well as horizontally. The proposed Indicator Framework strives to meet enhanced needs for evidence of organisational performance in a rapidly changing multilateral environment.

The MOPAN 4 Indicator Framework and Analytical Guidance include important innovations that respond to lessons learned and feedback from previous methodologies. They integrate systems thinking by establishing a more probabilistic link between organisational effectiveness and results, and better considering the influence of an MO's internal and external enabling environment. The revised rating approach preserves analytical granularity while replacing rigid scoring with a more context-sensitive, qualitative analysis, thus addressing concerns about bias, rigidity, and resource intensity.

The introduction of the Enabling Environment Analysis and Horizontal Linkages enables a more nuanced understanding of MO's performance, while the differentiated approach to assessing results (KPIs 9–12) brings greater methodological adaptability. The shift to a more flexible and iterative approach to evidence collection, including enhanced stakeholder engagement, targeted document review, and early deployment of the partner survey, will strengthen the integration and contextual grounding of the evidence base for MOPAN assessments. Combined, the MOPAN 4 Indicator Framework and Analytical Guidance represent a significant step forward in enhancing the rigour, credibility, relevance, and utility of MOPAN assessments.

Following endorsement of the MOPAN 4 Indicator Framework and Analytical Guidance by the Steering Committee, the MOPAN Secretariat, working under the guidance of the Technical Working Group, will develop the granular elements as guidance that will be used to analyse and rate micro indicators, which will form the complete methodology manual which will be finalised and published by Autumn 2025.

Actions sought:

- **Approval of the MOPAN 4 Framework and accompanying Analytical Guidance**

TWG Guidance and Oversight

The Indicator Framework and Analytical Guidance integrate comments received from the Technical Working Group (TWG) during a full day workshop on 6 February 2025 [MOPAN/TWG/M(2025)1] and a meeting on 4 March 2025 [MOPAN/TWG/M(2025)2] focused on the Analytical Guidance. These comments were integrated into final drafts. The TWG provided final feedback on the latter in a meeting on 15 April 2025 [MOPAN/TWG/M(2025)3]. Final comments have been integrated as follows:

[1] In November 2024, the MOPAN Steering Committee endorsed proposals for the revised hypothesis, the organising principles, the overall framework structure, and the integration of the adapted frameworks into one, flexible indicator framework comprising core and 'optional' (*now renamed as 'specialised'*) micro indicators. [MOPAN/SC/M(2024)2/FINAL]

- The concepts related to efficient and effective use of resources were clarified, with a focus on cost effectiveness (see on Effective Use of Resources below);
- The narrative explaining how the Indicator Framework captures all aspects of results-based management, including accountability for results to donors, has been strengthened (see below). The narrative explaining how the Indicator Framework captures all aspects of results-based management, including accountability for results to donors, has been strengthened (see Results section below);
- The possibility to analyse dimensions of particular relevance to MOPAN members in the current environment – cost effectiveness, comparative advantage, accountability and results - in a horizontal, integrated manner, has been further clarified and includes a specification of all relevant micro-indicators for each dimension (see below);The possibility to analyse dimensions of particular relevance to MOPAN members in the current environment – cost effectiveness, comparative advantage, accountability and results - in a horizontal, integrated manner, has been further clarified and includes a specification of all relevant micro-indicators for each dimension (see MOPAN 4 Indicator Framework: Enhanced evidence in a changing multilateral landscape section below);
- In the Indicator Framework, it has been further clarified that the indicative issues mentioned to help understanding of the micro-indicators are indicative only and do not represent a final list of elements as guidance, which will be developed at a later stage.
- A new section has been added to the Analytical Guidance to address questions of resource implications, proportionality and selectivity. The section provides orientations on how assessment teams should balance their level of effort between assessing indicators and using the new analytical resources introduced by MOPAN 4, and between the different phases of the assessment process.
- The rationale for revising the rating methodology has been strengthened, further outlining the disadvantages of the current MOPAN 3.1 methodology and dispelling the impression of objectivity in the current scoring methodology.
- The section referring to the use of digital tools, including A.I. tools, has been expanded to include risk identification and mitigation measures.
- The example used to illustrate how horizontal analysis is used in practice has been updated to reflect a better balance between challenges and good practice.

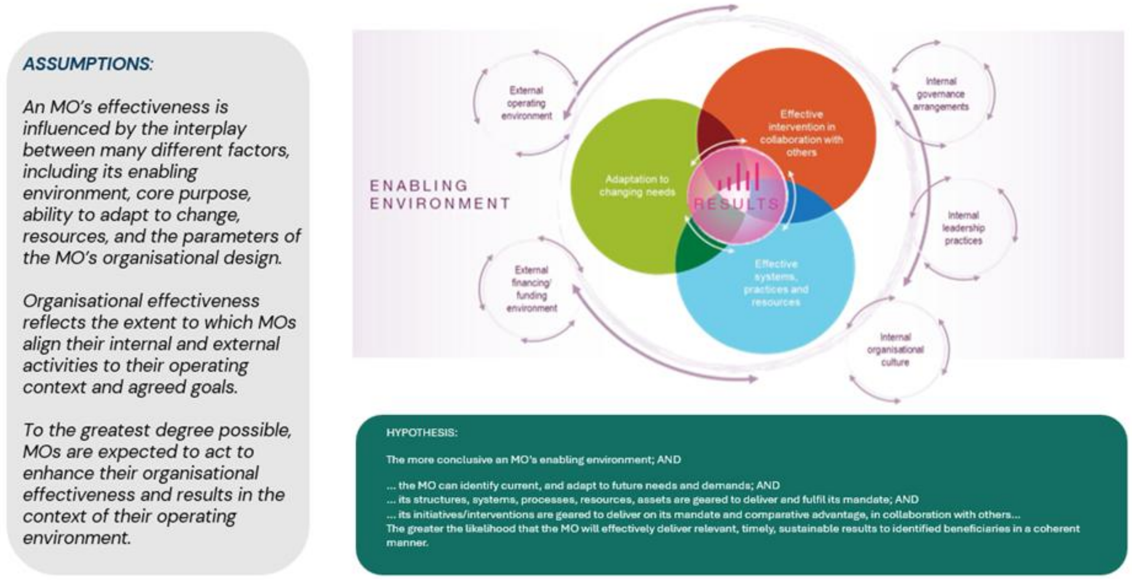
The Indicator Framework and Analytical Guidance also benefitted from consultations with and comments from Secretariat staff, a selection of Multilateral Organisation focal points, as well as quality assurance from three independent experts. The Indicator Framework also draws on an analysis of the 3 existing adapted frameworks for multilateral organisations working in crises, multilateral development banks (MDBs) and development financing institutions (DFIs), which led to the integration of these adaptations into a single MOPAN 4 Indicator Framework.

Theory of Change

The language of the MOPAN 4 Theory of Change (TOC) endorsed by the Steering Committee in the November 2024 meeting has been slightly updated to be consistent with the Indicator Framework and Analytical Guidance.

The final TOC, including underlying assumptions and hypothesis, are presented in Figure 1 below:

Figure 1. MOPAN 4 Revised Theory Change

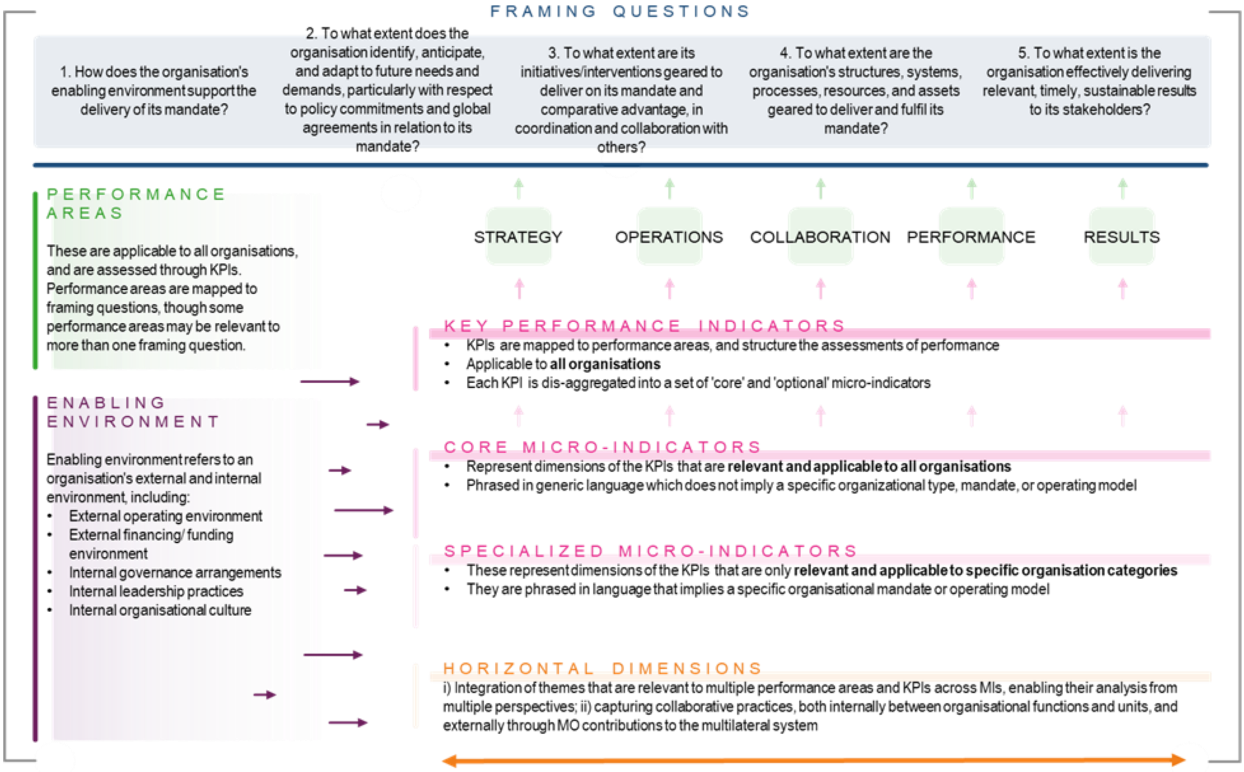


Further details on the ToC are provided in Annex A.

MOPAN 4 Framework Structure

The MOPAN 4 Framework Structure endorsed by the Steering Committee in November 2024 has been slightly updated to reflect the final Indicator Framework and Analytical Guidance. In addition to showing how the influence of the enabling environment constitutes an integral part of understanding organisational performance (represented by the blue arrows). Figure 2 also reflects the systems-thinking basis for the MOPAN 4 framework. The vertical aspects (represented by pink and green arrows) are addressed through the aggregation from MI to Performance Areas, while the horizontal aspects (represented by the orange arrow) show how some KPIs and MIs may be assessed at different places and levels in the framework, to capture varying aspects and perspectives of the same issue. Furthermore, the figure shows how the framework captures the heterogeneous aspect of the multilateral system, through the application of core and specialised micro indicators.

Figure 2. MOPAN 4 Assessment Framework



MOPAN 4 Indicator Framework: enhanced evidence in a changing multilateral landscape

The MOPAN 4 Indicator Framework presented in its entirety in Annex B aims to respond to an ever-growing demand from MOPAN members for evidence on the performance of multilateral organisations to support their accountability requirements, policy positions and funding decisions in a rapidly changing multilateral landscape. This has led to a heightened focus on for example cost-effectiveness, accountability, risk management, comparative advantage, achievement of results, and agility. Besides introducing the analysis of the Enabling Environment and 21 new micro-indicators, other micro-indicators have been rearticulated or streamlined to better reflect Members' priorities; many of which lend themselves well to horizontal analysis (see Guidance for evidence collection and analysis below). The following four examples illustrate this:

Results

Whereas MOPAN 3.1. approached results-based management (RBM) by assessing the MO's performance management systems in KPIs 7 and 8 only, MOPAN 4 adopts a more explicit and holistic perspective, in accordance with the United Nations Joint Inspection Unit's (JIU) broader definition of RBM[2]. Key features

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[2] Source: United Nations Joint Inspection Unit, RBM in the United Nations System: High Impact Model for RBM: Benchmarking Framework, Stages of Development and outcomes (2017). Management strategies based on managing for the achievement of intended organisational results by integrating a results philosophy and principles into all aspects of management and, most significantly, by integrating evidence and lessons learned from past performance into management decision-making.

of the JIU's RBM Benchmarking Framework are now integrated across all five performance areas and all 12 KPIs (see Table 1). Consequently, most KPIs in the framework include MIs designed to generate important evidence about the multilateral organisation's (MO's) RBM performance. Areas of RBM addressed by the new framework include;

Table 1: Dimensions of RBM addressed by MOPAN 4

RBM dimensions	Featured in MOPAN 4
Systems and processes for managing external and internal results to support learning, decision making, accountability, and communication of results to both governing bodies and partners	MIs 7.1, 7.2, 7.2, 7.3, 7.4, 7.5
Evaluation and evaluation use: incentives and systems to encourage the use of evaluation findings and lessons learned	MIs 8.1, 8.2, 8.3, 8.4, 8.5
Feedback loops to ensure that an organisation's knowledge base is used to inform new and ongoing interventions	MIs 5.5 and 7.5
Information management for the systematic collection, sharing, and use of information to ensure transparency, accountability and informed decision making	MI 3.5
Human and financial management geared toward achievement of results	Mis 3.1 and 3.2
Results relating to cross cutting issues	MIs 2.1, 2.2, 2.3, 2.4, 2.5, and 2.6

In addition to the focus on managing and communicating results for accountability and learning, the framework retains a focus on assessing evidence of actual achievement of development/humanitarian results, assessed through KPIs 9-12. These assessments will continue to be based on evidence produced by organisations' monitoring and evaluation systems, rather than primary data gathered by MOPAN assessment teams. Because the variable quality and coverage of such, a differentiated approach to assessing KPIs 9-12 based on an initial evaluability assessment conducted during the inception phase has been developed (see below).

Comparative advantage

Some MOs have partially overlapping mandates. It is therefore important to assess how each organisation is set up to deliver on its mandate, and - in doing so - obtain an understanding of its comparative advantage, relative to others. The MOPAN 3.1. Indicator Framework assessed the organisation's comparative advantage at the element level under two MIs looking at strategic planning and partnerships respectively.

MOPAN 4 goes a step further: the new Indicator Framework also assesses comparative advantage at the operational level (KPI 3), at the intervention design level (KPI 5), and at the performance management level (KPI 7). This issue may also be further analysed through the use of horizontal analysis (see Table 2 below).

Table 2: Dimensions of comparative advantage addressed my MOPAN 4

Comparative advantage dimensions	Featured in MOPAN 4
Alignment of strategic plan with clearly articulated comparative advantage	MI 1.1
Articulation of comparative advantage with respect to cross cutting issues	MIs 2.1, 2.2, 2.3, 2.4, 2.5
Alignment of HRM policies with comparative advantage	MI 3.2
Operational alignment to comparative advantage	MIs 5.1 and 5.5
Collaboration informed by comparative advantage	MI 6.2
Advocacy and policy dialogue based on comparative advantage	MI 6.6

Effective use of resources

In a progressively constrained financial environment, MOs are increasingly required to monitor the achievement of results in relation to the resources used to achieve them (e.g. time, staff and consultant costs, raw materials and capital that are used). As such, interest in cost-effectiveness is increasing.

Being cost-effective means achieving the best possible results for the cost incurred, ensuring that resources deliver meaningful and impactful results relative to these costs; and that issues of efficiency are considered to ensure results are maximised while minimising waste of resources such as time, money, or materials.

The MOPAN 4 Indicator Framework goes further than its predecessor in assessing MOs' effective use of resource. For example, different aspects of effective use of resources are covered across several KPIs, including:

Table 3: Dimensions of cost-effectiveness addressed by MOPAN 4

Results dimensions	Featured in MOPAN 4
Organisational approach to resource management, including approach to financial management, human resource management, asset management, procurement and logistics, and information management	MIs 3.1, 3.2, 3.3, 3.4, and 3.5
Adaptability and agility, i.e. the organisation's ability to adapt quickly to changing conditions	MI 3.7
The organisation's overall financial framework, and its approach to managing and resourcing organisational change	MIs 1.4 and 1.5
Internal and external coherence, including internal collaboration	MIs 3.6 and 5.3
System wide efficiency through collaboration, engagement, and harmonisation of processes with peer organisations	MI 6.2
Evaluative evidence relating to the cost-efficiency and timeliness of interventions	MIs 11.1 and 11.2

The issue of effective of resources is receiving increasing attention and is a likely candidate for horizontal analysis in many assessments (see Guidance for Evidence Collection and Analysis below).

Accountability

The same approach is applied to accountability and this issue also lends itself to horizontal analysis, whenever agreed during the inception phase (see relevant sections in Guidance for Evidence Collection and Analysis below). The MOPAN 4 Indicator Framework includes multiple indicators of key dimensions of accountability across all KPIs, as the Table 4 illustrates:

Table 4. Accountability dimensions addressed in the MOPAN 4 Indicator Framework

Accountability dimension	Featured in MOPAN 4
Financial accountability: e.g., transparency in financial reporting; efficient use of resources; external audits	MI 1.4., 4.1., 4.2., KPI 11
Programmatic accountability: e.g., clear link between funds and outcomes; alignment with agreed objectives; monitoring and evaluation	MI 1.1., 1.4., KPI 5, 7-12
Governance and decision-making accountability: e.g., inclusive decision-making; clear lines of responsibility; responsiveness to stakeholders	MI 1.3., 3.5., 5.1-5.4, KPI 6, MI 7.5.
Operational and managerial accountability: e.g., effectiveness and efficiency in operations; risk management; compliance with legal and regulatory frameworks	KPI 3, 4, MI 6.7.
Ethical and Social accountability: e.g., adherence to ethical standards; social and environmental responsibility; Protection of vulnerable populations; safeguards; PSEAH	KPI 4, MI 5.2., 5.8., 6.4., 6.5
Learning and adapting e.g., commitment to learning and improvement; adaptability and flexibility	KPI 1, MI 3.2., 3.5., 5.4.; 6.2., 7.5., 8.4.; 8.5.

MOPAN 4 Rating Methodology Using Elements as Guidance

The existing MOPAN approach to scoring and rating, which is based on assigning numeric scores to individual elements at the sub-MI level, poses several methodological challenges, including a restrictive interpretation of micro indicators; disproportionate use of resources; inconsistent applicability of the scoring criteria and equivalent weighting and associated risk of bias. Annex C provides an update of the main principles and application of the proposed approach, with fictitious examples showing how the analysis would be portrayed in the MOPAN assessment reports' Technical Annex.

In MOPAN 4, elements remain a core structural feature at the sub-MI level and will continue to guide analysis of performance against each MI, preserving analytical granularity. The MOPAN numerical rating categories (4-Highly Satisfactory; 3-Satisfactory: 2-Unsatisfactory; 1-Highly Unsatisfactory) will continue to be applied at the MI level and averaged to determine ratings at the KPI level. However, elements will no longer be attributed numerical scores that are then averaged to determine the MI rating. Instead, MI ratings will be supported by an analytical narrative based on the application of qualitative principles to the elements. Assessment teams will use professional judgment and contextual understanding to determine the MI ratings. Key considerations for each element may include presence, implementation, quality, behaviours, and performance over time.

Following endorsement of the Indicator Framework and Analytical Guidance, the Secretariat, under guidance and oversight from the TWG, will work to develop the elements to be used as guidance for rating micro indicators.

Guidance for Evidence Collection and Analysis

Evidence Streams and Data Collection

The detailed guidance on evidence streams and data collection proposes that MOPAN 4 maintains the current three lines of evidence (document review, interviews, survey), but with some notable modifications and reprioritisations. MOPAN 4 introduces a more flexible, iterative approach to evidence collection throughout the assessment process, compared with the previous linear sequence of reviewing documents, then conducting interviews, and conducting the partner survey.

The document review will be more targeted, beginning before inception, followed by MO-specific documents gathered during and after inception, and complemented if needed at the fact-checking stage to ensure that it remains up to date. The proposed approach would entail a strengthened stakeholder analysis and, for interview and survey respondents, a greater balance between functions, headquarter and country level and staff, partners and external stakeholders. Surveys will be launched as early as possible post-inception to ensure results can inform other evidence streams. In-country visits may be considered but only on a case-by-case basis.

Overall, this new approach aims to enhance efficiency, relevance, and integration of evidence across different sources, while maintaining methodological rigour and strengthening the contextual understanding of MO performance.

Enabling Environment Analysis

The rationale, scope, evidence sources and timing of the analysis of the enabling environment and illustrates how the analysis will be carried-out and presented in the assessment report. The enabling environment is defined as comprising five dimensions: the external operating and funding environments, and internal governance, leadership, and organisational culture.

This analysis aims to describe how these factors affect the MO and how it responds, without influencing the ratings of indicators. Based on documents, interviews, and survey data, the enabling environment analysis begins in the inception phase and is refined during data collection. Each dimension will be described, analysed, and linked to organisational performance implications.

Findings will be presented in two ways: (1) a dedicated “Enabling Environment” chapter in the main report offering an integrated narrative on the five dimensions, highlighting key developments, their impact on performance, and the MO’s responses; and (2) in the Technical annex, where effects will be detailed under each KPI. This approach aims to provide deeper insight into contextual factors affecting performance, while maintaining a clear boundary between contextual understanding and the formal assessment ratings.

Horizontal Linkages

Annex D outlines the main principles and application of horizontal analysis. An illustration using the example of ‘’efficiency’’ shows how the analysis would be presented in the assessment report. Further to the discussions with the TWG about horizontal linkages, Annex D provides an update of its main principles and application, with an illustration of using efficiency as an example to show how the analysis would be portrayed in the assessment report (both the main Institutional Assessment Report and the Technical Annex).

In MOPAN 4, KPIs and MIs are often interconnected, addressing shared issues such as *inter alia* efficiency, accountability, and knowledge management from different angles. Analysing these issues in an integrated way provides a more nuanced view of an organisation’s performance and allows for cross-organisational comparisons. Issues would be selected before or during inception, with relevant KPIs, MIs, evidence sources, and an analytical template identified. During data collection, evidence would be populated and triangulated, with findings analysed at the MI level and then aggregated by issue. The main assessment report would present this in a dedicated “Horizontal Linkages” section, complementing the detailed MI-level analysis.

Approach to Assessing Results KPIs 9-12

Annex D outlines the differentiated approach for assessing results. MOPAN KPIs 9–12 differ from KPIs 1–8 in both focus and methodology. While KPIs 1–8 assess organisational systems and practices using primary data, KPIs 9–12 evaluate an organisation’s contributions to development or humanitarian results, relying solely on existing evaluative evidence such as corporate results reporting and published evaluations. This presents challenges due to the wide variation in the availability and quality of such evidence across organisations.

To address this, MOPAN 4 introduces a differentiated, two-stage process during the inception phase: (1) a preliminary evaluability assessment, and (2) selection of the most appropriate method for assessing KPIs 9–12. Three methods are proposed: (i) Organisation-led synthesis, used when robust evaluation syntheses from the organisation already exist; (ii) Assessment team-led synthesis, applied when such syntheses are unavailable and the team must analyse a sample of evaluations directly; and (iii) Assessment team-led synthesis with project-level evaluations, used when the organisation lacks a strong evaluation function or sufficient high-level evaluations. This flexible approach ensures that assessments are adapted to the realities of each organisation’s evidence base, while maintaining methodological rigour in assessing results performance.

Enhanced Inception Phase

Annex D describes how the proposed adjustments to the MOPAN Indicator Framework and Analytical Guidance have implications for the assessment process in general, and the inception phase in particular.

MOPAN 4 introduces important changes to the inception phase, reflecting a more flexible, focused and integrated approach to evidence collection and analysis compared to MOPAN 3.1.

During the inception phase, the assessment team, the MOPAN Secretariat, Institutional Leads, and the multilateral organisation will agree on Enabling Environment dimensions and themes to assess horizontally, apply the two-tier approach to document collection described above, and conduct the evaluability assessment for results indicators. A stakeholder analysis will guide interview sampling, while the partner survey design and respondent list will also be developed. The team will determine if alternative data collection methods are needed to ensure a robust, context-specific approach to the assessment process from the outset.

The enhanced inception phase could involve an extended in-person mission so that agreements can be reached on the scope and focus of the assessment. Careful consideration will be given to the proportionality of effort in relation to the other assessment phases.

Next Steps

Following endorsement of the MOPAN 4 Indicator Framework and Analytical Guidance by the Steering Committee, the MOPAN Secretariat, working under the guidance of the Technical Working Group, will develop the elements as guidance that will be used to analyse and rate micro indicators. The complete MOPAN 4 Indicator Framework and Analytical Guidance will be finalised and published by Autumn 2025.

Annexes

Overview of Annexes

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Annex A. MOPAN 4 Theory of Change

Developed in response to MOPAN's revised and updated vision and strategy, MOPAN 4 constitutes a further evolution of the MOPAN approach and methodology, based on a thorough literature review and a review of Member needs and lessons learned. Framing Questions have been revised as has the underlying MOPAN 3.1 hypothesis and the Theory of Change (TOC).

MOPAN 3.1 was based on a causal *if/then* hypothesis that "*IF a Multilateral Organisation has effective systems, behaviours and practices in place, THEN it will effectively deliver interventions that efficiently achieve inclusive, sustainable contributions to humanitarian and development results*." This logic reflects a linear articulation of the causal relationship between organisational effectiveness and results: achieving results always follows organisational effectiveness. MOPAN 4 seeks to refine this hypothesis, recognising that the relationship is more complex, and while effective systems, behaviours and practices are essential, a Multilateral Organisation's organisational effectiveness is influenced by a large number of different factors over which it has varying degrees of control. The MOPAN 4 hypothesis has been reframed as:

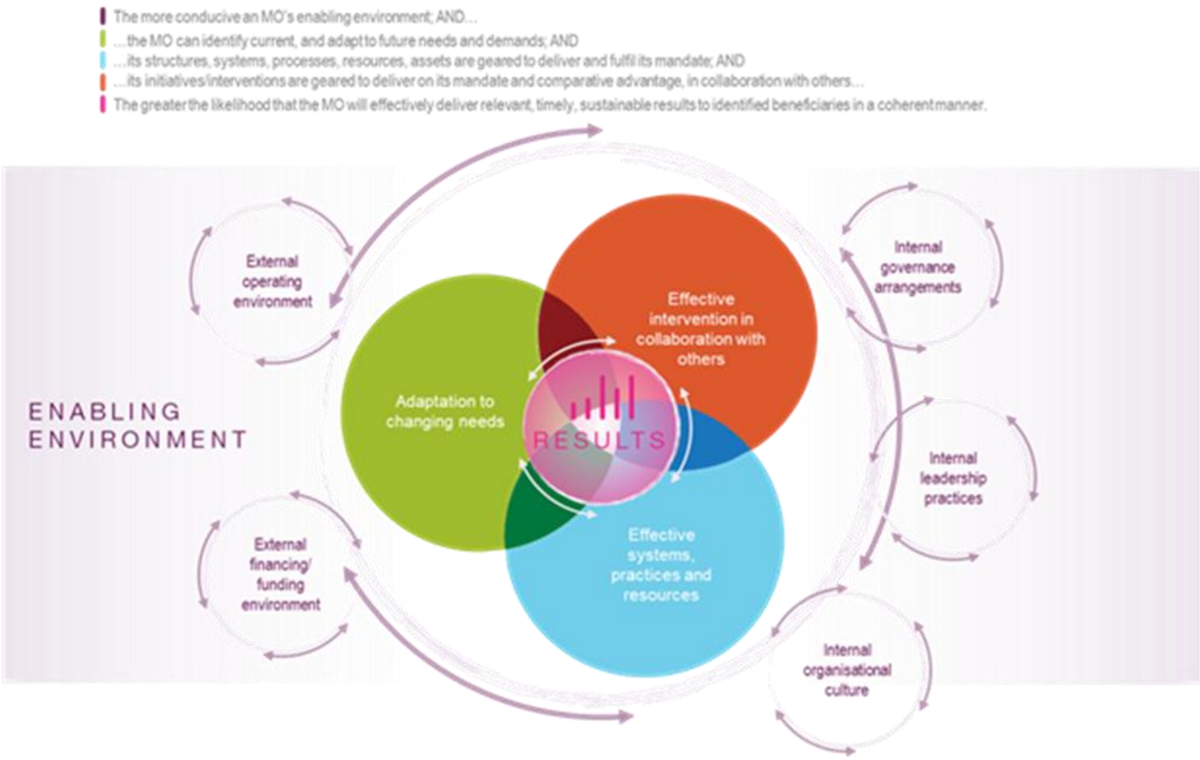
***"The more** conducive an MO's enabling environment is **and** the more the Multilateral Organisation can identify current, and adapt to future, needs and demands, **and** the more its structures, systems, processes, resources, and assets are geared to deliver and fulfil its mandate, **and** the more its initiatives/interventions are geared to deliver on its mandate and comparative advantage, in collaboration with others, **the greater the likelihood** that the Multilateral Organisation will effectively deliver relevant, timely, sustainable results to intended beneficiaries in a coherent manner".*

These probabilistic, empirically grounded, expectations provide the foundation for a systems-thinking informed Theory of Change which acknowledges that each dimension of organisational effectiveness included in the MOPAN 4 assessment framework can only influence the likelihood that a Multilateral Organisation will effectively deliver development or humanitarian results for two, related reasons:

1. The simultaneous influence of factors beyond an MO's immediate scope of control and its various internal and external dimensions, i.e. its *enabling environment;* and
2. The *interdependence* between the various different dimensions of organisational effectiveness covered by the framework, both in terms of the organisations' place in the multilateral system and in terms of internal dependencies among and between organisational units and functions.

MOPAN 4 recognises that multilateral organisations are heterogeneous. They are part of, and shaped by, a complex and dynamic external context, with different historical, political, financial, legal/institutional, cultural, security, geographic and socio-economic dimensions. While multilateral organisations have much in common, each has its own unique mandate, background and experience and positioning within the wider multilateral system. As such, the systems-thinking informed TOC more appropriately reflects contemporary understanding of drivers of organisational performance. It explicitly involves analysing the interactions and relationships between and among MOs and the various actors, forces, and dynamics which comprise their operating environment, as shown in Figure A. 1.

Figure A.1. MOPAN 4 Theory of Change



The TOC is based on a set of general assumptions that reflect MOPAN's understanding of the main components and key drivers of organisational effectiveness, the influence of the external environment, as well as the relationship between organisational effectiveness, the external environment and results:

A multilateral organisation's effectiveness is influenced by the interplay between many different factors, including its enabling environment, its core purpose, its ability to adapt to change, its resources, and the parameters of the MO's organisational design.

- Organisational effectiveness reflects the extent to which multilateral organisations align their internal (e.g., resource allocation, organisational design, risk management) and external activities (e.g. operations, knowledge sharing and partnerships) to their operating context and agreed goals.
- To the greatest degree possible, multilateral organisations are expected to act to enhance their organisational effectiveness and results in the context of their operating environment.

This understanding is reflected in the **MOPAN 4 Framing Questions** which establish the basic parameters for MOPAN assessments:

1. How does the multilateral organisation's enabling environment support the delivery of its mandate?
2. To what extent does the multilateral organisation identify current, and anticipate and *adapt to future* needs and demands, particularly with respect to policy commitments and global agreements in relation to its mandate?
3. To what extent are the multilateral organisation's initiatives/interventions geared to deliver on its mandate and comparative advantage, in coordination and collaboration with others?
4. To what extent are the multilateral organisation's structures, systems, processes, resources, assets geared to deliver and fulfil its mandate?

5. To what extent is the multilateral organisation effectively delivering relevant, timely and sustainable results to its beneficiaries?

The framing questions outlined above deliberately seek to capture the complexity and interplay of the various factors that can influence organisational effectiveness, and to respond to these questions modifications have been proposed to the MOPAN 4 assessment structure.

Annex B. MOPAN 4 Indicator Framework

The Indicator Framework below is comprised of Performance Areas (PAs), Key Performance Indicators (KPIs) and Micro Indicators (MIs). Subject to endorsement of the Indicator Framework by the Steering Committee in May 2025, the Secretariat will develop Elements as Guidance for the rating of each MI. The framework below includes issues to be considered for elements as guidance" to facilitate understanding. These are indicative and should not be interpreted as the final elements as guidance.

Table B.1. Legend

Indicator Type	*Colour*
Core indicator, retained from MOPAN 3.1 but updated	
New core indicator	
Humanitarian[3] MO specialised indicator	
IFI[4] specialised indicator	

Table B.2. Indicator Framework

Performance Area: Strategic Management *Clear strategic direction, with key functions aligned to intended results, supporting relevant cross-cutting issues*	
KPI 1: Organisational architecture and financial framework are aligned with the organisation's strategic direction and enable achievement of intended results	
Micro-indicator	**Indicative issues to be considered for elements as guidance** (N.B. the list below is indicative only and does not pre-empt the final elements as guidance)
1.1. Strategic plan and corporate strategic results framework (CSRF) are based on a clear vision of comparative advantage that is coherent with the mandate	- Mandate congruence - Expressed comparative advantage with implementation strategy - Strategic vision promotes agility, efficiency and responsiveness to need - Distinction between organisational and programmatic results - Alignment of operational plan to Strategic Plan and CSRF - Assessment of resources available - Regular review of plans and CSRF by MO and Governing Bodies, assessing readiness, feasibility and actual performance - Regular revision of plans and CSRF

[3] For the purposes of the MOPAN 4 methodology, **humanitarian multilateral organisations** are defined as **1) United Nations organisations that are members of the Inter-Agency Standing Committee (IASC)**, which is the primary mechanism for inter-agency coordination of humanitarian assistance; and **2) the international components of the International Red Cross and Red Crescent Movement,** which has a distinct status and mandate in international humanitarian law. These organisations are FAO, ICRC, IFRC, IOM, OHCHR, OCHA and OCHA-managed pooled funds, UNDP, UNICEF, UNHCR, UN-HABITAT, UNFPA, UN Women, WFP and WHO have a recognised role in delivering or supporting principled humanitarian action in crisis contexts. Other multilateral organisations with significant humanitarian engagement—such as vertical funds or development banks—may be considered on a case-by-case basis.

[4] For the purposes of the MOPAN 4 methodology, **humanitarian multilateral organisations** are defined as **1) United Nations organisations that are members of the Inter-Agency Standing Committee (IASC)**, which is the primary mechanism for inter-agency coordination of humanitarian assistance; and **2) the international components of the International Red Cross and Red Crescent Movement,** which has a distinct status and mandate in international humanitarian law. These organisations are FAO, ICRC, IFRC, IOM, OHCHR, OCHA and OCHA-managed pooled funds, UNDP, UNICEF, UNHCR, UN-HABITAT, UNFPA, UN Women, WFP and WHO have a recognised role in delivering or supporting principled humanitarian action in crisis contexts. Other multilateral organisations with significant humanitarian engagement—such as vertical funds or development banks—may be considered on a case-by-case basis.

1.2. Strategic plan supports implementation of global commitments and associated results	– Delineation of relevant global commitments to MO in question – Clarity on MO's role v-à-v global commitments – Clarity on MO's contribution to associated results – Progress reporting
1.3. Organisational structure and accountability arrangements are congruent with the MO's Strategic Plan	– Congruence of organisational structure with strategic plan, business model and financing – Delegation of authority and accountability – Adaptiveness to change
1.4. The financial framework is aligned with the corporate strategy and corporate strategic results framework	– Single integrated financial framework – Results-Based Budgeting – Management of financial resources vis-à-vis strategic priorities and intended results – Consistency of resource mobilisation practice with strategic priorities – Processes in place to ensure efficient use of resources and capital – "Quality funding"
1.5. The MO's approach to organisational change / transformation is fully aligned with its strategy, adaptive and feasible	– Alignment of vision of organisation with strategic plan – Needs assessment, feasibility and readiness – Change strategy and action plan in place, aligned with strategic plan – Processes in place to ensure efficient use of resources – Resourcing of action plan – Forward scanning – Adaptiveness/flexibility/responsiveness – Management and oversight structures (internal, external) – Communication (internal, external)
KPI 2: Corporate strategy, key functions and mechanisms in place, aligned and applied to support normative frameworks for cross-cutting issues at all levels	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
2.1. Organisational strategies support the achievement of intended results of normative frameworks for gender equality and women's empowerment	– Expressed intent and comparative advantage – Business processes – Resources – Practices – Partnerships
2.2. Organisational strategies support the achievement of the intended results of normative frameworks for environmental sustainability and climate change	– Expressed intent and comparative advantage – Business processes – Resources – Practices – Partnerships
2.3. Organisational strategies support the achievement of the intended results of global normative frameworks for human rights, including the protection of vulnerable people	– Expressed intent and comparative advantage – Business processes – Resources – Practices – Partnerships
2.4 Organisational strategies support the achievement of the intended results of normative frameworks for working in conditions of Fragility, Conflict and Violence	– Expressed intent and comparative advantage – Business processes – Resources – Practices – Partnerships
2.5 Organisational strategies support the achievement of the intended results of normative frameworks for other cross-cutting issues	– Expressed intent and comparative advantage – Business processes – Resources – Practices – Partnerships
2.6. Appropriate safeguards are in place, and respected, to ensure the respect of humanitarian principles (HP) in all aspects of operations	– Presence of HP in key documents – Staff training on HP – Systems in support of application of HP – Tracking of HP
2.6. Promotion of regional cooperation and regional public goods	– Clear policy, operational framework and instruments in place – Financial and human resources supporting this work – Mainstreaming into country portfolios.

	– Coordination networks supporting regional cooperation and integration – Integration into corporate results frameworks, including regional spillover effects – Mechanisms for collaboration with regional economic communities. – Means for promoting demonstration effects and peer learning. – Partnerships.
Performance Area 2: Operational Management *Management of assets, capacities, risks, controls and safeguards geared toward achievement of strategic objectives*	
KPI 3: Resource management and internal collaboration support relevance, cost-efficiency and agility	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
3.1. Financial management and accountability policies and practices are sound, transparent and geared toward the efficient achievement of results	– Financial policies and practices – Efficient resourcing of financial function – Planned allocation of resources to priorities/results – Management of growth in administrative budget and promotion of productivity. – Actual allocation of resources to priorities and systems in place for tracking – Explanation of variances – Budget execution and financial reporting to governing bodies – Management response
3.2. HRM policies, systems and practices are aligned with the strategic plan and geared toward the achievement of results	– Efficient workforce planning, deployment and rebalancing – Respectful workplace and equal opportunity policies and practice (incl. gender parity) – Talent management, including relevant skills aligned to comparative advantage – Performance management and accountability – Career development and mobility – Legal and contractual arrangements – Efficient resourcing of HRM function
3.3. Asset management: Strategic planning, utilization, and maintenance of an organisation's physical assets to maximise value, ensure sustainability, and support the achievement of its objectives	– Asset acquisition and planning – Efficient use and maintenance of assets – Monitoring of asset performance – Audits and management response – Governance and decision-making practices – Efficient resourcing of Asset Management function
3.4. Procurement and logistics: Strategic and transparent management of procurement and logistics activities align with organisational objectives and achieve value for money	– Policies and processes focused on delivering value for money – Compliance of practices with international standards – Monitoring of performance – Audits and management response – Governance and decision-making practices – Efficient resourcing of P&L function
3.5. Information management: the systematic and secure collection, organisational, sharing, and use of information to ensure transparency, accountability, and informed decision-making aligned with organisational goals.	– ICT systems (including ERP) – Information security – Digital systems enable efficiency, including the use of AI – Use of Business Intelligence – Management dashboards for performance monitoring and decision-making – Efficient resourcing of ICT function
3.6. Internal collaboration, i.e., the systematic alignment and integration of activities, processes, and communication across various departments, teams, and functions to achieve shared goals efficiently and effectively	– Communication networks & processes – Coordination, inclusion and decision-making mechanisms and practice – Information sharing mechanisms, practices and incentives – Business processes and workflows to reduce silos – Clarity in internal division of labour and delegation
3.7. Agility and ability to effectively respond to changing conditions	– Surge / downsize criteria and procedures – Agile business processes (fast-track recruitment, funding windows, procurement & logistics) – Specific safeguards for crisis situations
KPI 4: Enterprise risk management, internal and external controls, and safeguards ensure a comprehensive framework for proactively identifying, assessing, and mitigating risks while promoting accountability, compliance, and the protection of organisational assets	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
4.1. Proactive identification, assessment, and mitigation of risks to ensure	– Alignment of ERM framework with mandate and Strategic Plan – ERM organisation, including 3 lines of defence

organisational resilience and the achievement of strategic objectives	– Risk awareness, appetite and behaviour – External and internal ERM oversight bodies and processes – Integration of ERM principles in business processes (incl. risk assessment, management, mitigation) – IT systems and tools, ensuring cybersecurity – Continuous monitoring and periodic reviews of management practices – Integration of risk considerations in strategy and operations – Monitoring, reporting and communication systems – Participation in interagency ERM cooperation and coordination
4.2. Control policies and practices effectively prevent, detect, investigate and sanction cases of fraud, corruption, conflict of interest, or other financial irregularities	– Structural independence of internal control function – External audit – Internal audit – Anti-fraud and corruption – Investigations – Compliance with IC policies and standards – Compliance with counterterrorism and anti-money laundering and terrorism financing laws and other sanctions-related restrictions – Management response to internal and external audit recommendations – Transparency and reporting mechanisms
4.3. Internal Safeguards: Implementation of internal policies and practices to protect individuals, resources, and the organisational environment while promoting a healthy, ethical, and inclusive culture	– Ethics – Ombuds – Whistleblower protection – Conflict of interests – Misconduct in the workplace other than sexual harassment – Dispute resolution – Data protection and privacy – Health & Safety, Duty of Care – Business continuity – Timeliness of actions taken – Public reporting – Management response to internal and external audit recommendations
4.4. Prevention of and response to sexual exploitation and abuse	– Policies, plans, systems and processes comprehensiveness and alignment with international standards – Resourcing of PSEAH function (staffing, operations) – Setting of behavioural standards – Staff training – Monitoring of compliance – MO contribution to interagency efforts – Timeliness of actions taken – Public reporting
4.5. Prevention of and response to sexual harassment	– Policies, plans, systems and processes comprehensiveness and alignment with international standards – Resourcing of SH function (staffing, operations) – Setting of behavioural standards – Staff training, – Monitoring of compliance – MO contribution to interagency efforts – Timeliness of actions taken – Public reporting

Performance Area 3: Collaborative Management

Operational design and system-wide collaboration support the relevance, coherence, effectiveness, efficiency and sustainability of interventions

KPI 5: Operational programming, planning and design systems and procedures support the development and delivery of quality interventions

Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
5.1. Operational processes and systems for intervention design support relevance	– Context analysis – Operational alignment to comparative advantage – Integration of cross-cutting issues – Consultations with beneficiaries, countries and partners

	– Incorporation of beneficiary and partner needs and priorities – Leave No One Behind – Targeting of needs of vulnerable groups – Do No Harm
5.2. Operational risks are proactively identified, managed, and monitored	– Integrated Environmental and Social Framework aligned to good practice (incl. inter alia, partner capacity analysis and Intervention-level risk assessment) – Systematic implementation across all interventions – Dedicated, resourced organisational function separate from operations. – Oversight, escalation, incident management and reporting – Client feedback and independent accountability mechanism
5.3. Operational processes and systems in place for ensuring interventions are internally and externally coherent	– Internal coherence of interventions – External coherence of interventions – Complementarity of interventions – Ongoing consultations
5.4. Operational processes and systems support effectiveness	– Mechanisms in place to allow programmatic change when conditions change – Authority levels (HQ, field) – Consultation with partners
5.5. Effective feedback loops ensure organisational knowledge base inform new and ongoing interventions.	– Organisational vision on production and use of knowledge based on comparative advantage – Systems and processes to embed knowledge management (incl. staff incentives, platforms, knowledge-sharing events; continuous learning) – Mechanisms ensuring use of relevant (evaluative) information from internal and external sources – Portfolio reviews: use of relevant contextual information from internal and external sources
5.6. Operational processes and systems for intervention design support sustainability	– Capacity development – Use of country systems – Policy reform
5.7. Operational processes and systems support efficiency	– Delegation of authority – Process optimisation and benchmarking (incl. cost reduction, timeliness) – Decision-making processes – Identifying and addressing poorly performing interventions
5.8 There are systems in place for anticipatory humanitarian responses	– Early Warning systems and structures – Contingency planning – Funding envelopes / instruments
5.8. The MO's processes for investment appraisal and monitoring identify relevant country-level considerations, including promoting principles of sound banking and creating an enabling environment for investment.	– Analysis of implications for exposed risks – Investment appraisal processes – Requirements for sustainability of future investments – Monitoring of changes in regulatory environment
5.9. The organisation is set up to prevent, respond to and achieve durable solutions for internally displaced people (IDPs)	– Advocacy systems to prioritise IDPs – Protection-centric focus – Support for coordination efforts for IDP solutions – Drivers of displacement and displacement risks – Resourcing – Reporting on action on internal displacement
KPI 6: Collaboration, harmonisation and enabling local leadership support shared outcomes	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
6.1. Planning and programming facilitate and encourage collaboration and collaborative initiatives	– Joint planning, programming and co-financing – Incentives to encourage integrated solutions – Incentives to encourage collaborative initiatives – Application of Business Operations Strategy in key areas (= for UN agencies only)
6.2. The MO actively strives for efficiency through collaboration, systemwide engagement, and harmonisation	– Contribution to systemwide joint reporting – Application of mutual recognition and mutual reliance procedures – Use of shared risk (MDB) – Use of shared services, common back offices and common premises (UN) – Contribution to system-wide joint reporting initiatives

6.3. Interventions support and use collaboration frameworks, such as country led and owned platforms and shared service protocols	- Engagement in collaborative frameworks underpinned by a stated comparative advantage - Engagement in global collaborative co-financing forum - Formulation and application of Business Operations Strategy in key areas (= for UN agencies only)
6.4. The organisation is set up to deliver accountability to beneficiaries / affected populations	- Expressed policy intent - Integration of principles in intervention design and business processes - Beneficiary engagement in decision-making - Performance tracking, learning and feedback loops - Independent Grievance Redress and Accountability Mechanism
6.5. Support to locally led development and humanitarian action ensures that development and humanitarian efforts are driven by local stakeholders who best understand the needs, priorities and context of their country and communities	- Local leadership and ownership - Alignment with national systems - Direct funding - Capacity strengthening - Contextual adaptation - Shared decision-making
6.6. The organisational engages in effective global policy efforts and advocacy, including towards ending need	- Involvement in global policy and advocacy - Participation in system-wide coordination - Comparative advantage - Integration of global policy changes into operating model
6.7. Systems promote private sector development and private capital mobilisation, particularly in challenging markets	- Integration of private sector development considerations into operations. - Processes and instruments in place to scale up investment in challenging markets and sectors - Clear tools, instruments and incentives to promote private capital mobilisation - Processes and systems in place to expand access to finance - Processes and systems in place to expand local currency financing and promote engagement with national development banks - Promotion of PPPs
Performance Area 4: Performance and Learning Management *Effective systems for monitoring results and internal organisational effectiveness, and the use of performance information for learning, decision-making, accountability, and communication*	
KPI 7: Systems and processes are in place for managing external and internal results to support learning, decision making, accountability, and communications	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
7.1. The organisation has a clearly articulated and consistently implemented approach to performance management	- Corporate results systems aligned to strategy and comparative advantage - Systems for measurement of (organisational as well as programmatic) effectiveness metrics - Funding levels of results management function and system - Incentives supporting the use of performance metrics in decision-making
7.2. Results architecture aligns with country, regional and/or global results	- Results architecture captures key metrics related to organisational performance, including efficiency - Outcome orientation - Results architecture captures key metrics at operational level - Linkages between different layers in performance frameworks - Use of baselines, targets, indicators - Contribution and attribution
7.3. Results are communicated transparently	- Discussion of annual reports with Governing Boards - Publication of annual reports on organisational and development results performance - Explanation of deviations (planned versus actual)
7.4. Monitoring systems generate useful, timely quality data	- Quality data from monitoring systems for organisational and development effectiveness - Supervision and self-evaluation - Regular data reviews - Aggregation of results information
7.5. Performance data transparently applied in planning and decision-making	- Planning based on performance data - Sharing of performance data with partners - Reviews demonstrating how performance data informs decisions - Evidence-based adaptive management
KPI 8: Incentives and accountability systems encourages use of evaluative findings and lessons learned	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**

8.1 A corporate independent evaluation function supports impartial and credible evaluative evidence	– Structural independence – Functional independence – Budgetary independence – Behavioural independence
8.2 Consistent, independent evaluation of performance (coverage) supports broad coverage of evaluative evidence	– Evaluation plan coverage – Resourcing of evaluation function – Inputs for evaluation planning – Realisation of evaluation plan
8.3 Systems applied to ensure the quality of evaluations	– Quality assurance systems' consistency with good practice norms and principles – Evidence-based adaptive management – Access to sufficient data – Self-evaluation / review
8.4. Clear accountability system ensures responses and follow-up to and use of evaluation recommendations	– Management response and action plan + timeline: intent and realisation – Reporting to Governing Board – Assessment of realised outcomes
8.5. Systems in place to support communication and knowledge management of evaluations	– Evidence of an Evaluation Knowledge Management (EKM) policy, strategy and function that is appropriately resourced – Evidence of dedicated EKM planning and products, including EKM strategies for evaluations – Evidence of dissemination tools, practices and forums – Evidence of evaluation capacity development in the organisation and among client countries. – Evidence of use of technology and AI
Performance Area 5 Results *Achievement of stated objectives in a coherent, effective, efficient and sustainable manner*	
KPI 9 Effectiveness: Through its interventions, the MO has achieved its stated goals and objectives	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
9.1. Interventions assessed as having contributed to achieved results across different beneficiary and target groups	– Achievement of planned outputs and outcomes across different beneficiary and target groups – Extent of unplanned positive or negative results caused by the interventions
9.2. Interventions assessed as having contributed to the improvement of gender equality and women's empowerment across different beneficiary and target groups	– Achievement of planned outputs and outcomes across different beneficiary and target groups – Extent of unplanned positive or negative results caused by the interventions
9.3. Interventions assessed as having contributed to the improvement of the environmental sustainability and/or climate change across different beneficiary and target groups	– Achievement of planned outputs and outcomes across different beneficiary and target groups – Extent of unplanned positive or negative results caused by the interventions
9.4. Interventions assessed as having contributed to the improvement of human rights and the protection of vulnerable people and groups across different beneficiary and target groups	– Achievement of planned outputs and outcomes across different beneficiary and target groups – Extent of unplanned positive or negative results caused by the interventions
9.5. Interventions assessed as having contributed to the improvement of other X-cutting issue(s)	– Achievement of planned outputs and outcomes across different beneficiary and target groups – Extent of unplanned positive or negative results caused by the interventions
9.6. Beneficiary/Client satisfaction	– Quality and speed of service – Responsiveness and communication – Value addition (technical support, policy advice, ESG guidance) – Fairness and flexibility of terms – Partnership quality over time
KPI 10 Relevance and Coherence: The organisation is doing the right things, and its interventions are coherent with other interventions	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
10.1. Interventions are responsive to the beneficiaries' needs and priorities and continue to do so when circumstances change	– Alignment of objectives with beneficiary needs and priorities – Adaptability to changing needs or contexts
10.2 Interventions are coherent with other interventions in a country, sector or institution	– External coherence – Internal coherence

10.3 Operations demonstrate financial and non-financial additionality	- Realisation of financial and non-financial additionality ex-post.
KPI 11 Efficiency: Through its interventions, the organisation delivers results in an economic and timely way	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
11.1 Interventions are resource/cost-efficient	- Economic efficiency - Operational efficiency - Compliance of administrative overhead with industry standards
11.2 Interventions are completed and results achieved on time	- Process efficiency - Timeliness of implementation - Timeframe adjustment in response to contextual changes
11.3 Performance in private capital mobilisation and efficient use of capital	- Performance against mobilisation targets
11.4 Work Quality and Supervision Quality	- Ex-ante performance in work quality and supervision quality
KPI 12 Sustainability: The net benefits of the organisation's interventions continue or are likely to continue after completion of the interventions	
Micro-indicator	**(Indicative) issues to be considered for elements as guidance**
12.1 Benefits assessed as continuing, or likely to continue, after completion of the interventions	- Differentiation of results for beneficiary groups - Stakeholder ownership - Absorptive capacity - Political will - National resource availability
12.2 Results help build resilience to shocks and stressors and lay the groundwork for stability and development	- Institutional resilience - Community and household resilience - Infrastructure resilience - Social cohesion - Disaster preparedness and response - Adaptive capacity and learning
12.2 The MOs portfolio is financially sustainable including the financial performance of non-sovereign operations	- Capital Utilisation Ratio - Liquidity Ratios - Exposure Rates / Exposure Exchanges - Non-performing Assets - Ratings Agencies assessments

Annex C. Rating Methodology

1. Key features

- **Retaining and revising elements**: elements will be retained as a key structural feature of the Indicator Framework at the sub-MI level. Their purpose will be to clearly identify which issues need to be considered when assessing performance for each MI. They will be worded in a manner which provides a disaggregated picture of best practice with respect to each MI. As such, they will continue to form the basis for rating the MO's performance for each MI. The development of elements as guidance will need to ensure that they are clear, measurable, and relevant to each MI in the MOPAN 4 framework. In most cases, elements for core MIs will be worded to ensure that they are applicable to all categories of organisation. However, in some cases, particularly where MIs focus on issues where standards of best practice differ substantially across different operating models, it may be necessary to develop elements that are tailored to different MO categories.
- **Removing the scoring for individual elements**: unlike in MOPAN 3.1, elements will not be scored individually. This means that individual elements will not be assigned a numeric score. Instead, the elements will be used as the basis for assigning a rating directly at the MI level. The numerical rating categories from MOPAN 3.1 (4. Highly Satisfactory, 3. Satisfactory, 2. Unsatisfactory, 1. Highly Unsatisfactory) will be retained. However, because individual elements will not be scored, the ratings will be supported by an analytical narrative, itself based on the application of qualitative principles to each element (see "from elements to ratings" below).
- **Ensuring continued granularity of analysis**: although elements will not be scored individually, they will continue to guide data collection and structure analysis at the sub-MI level. This means that the MI-level analysis in Technical Annex of the MOPAN Assessment reports will continue to be structured around elements. Thus, the granularity of analysis at the MI level will be retained.

2. From elements to ratings

Under the MOPAN 3.1 approach, individual elements were assigned a numeric score of between 0 and 4 based on the extent to which the evidence indicated that they were both present and implemented. As discussed at the Technical Working Group meeting of 4 March, this approach presented important methodological challenges, including:

- **Restrictive interpretation of MIs:** the mandatory, individually scored elements associated with the existing approach imposed a relatively fixed interpretation of MIs, which often failed to capture the diversity of operating/business models, mandates, and priorities of the assessed organisations. This restrictive interpretation carried the potential to reduce the relevance of assessments as a tool for organisational learning and self-improvement.

- **Disproportionate use of resources:** the 3.1 framework contains over 200 elements, each of which need to be individually assessed and scored. This required investment of a considerable proportion of the time and resources available to assessment teams in efforts to search for and analyse highly specific evidence relating to mandatory elements that were not always fully relevant to the given organisation's context, potentially detracting from efforts to develop a broader view of the organisation's performance journey.
- **Inconsistent applicability of scoring criteria:** under the current approach, assessment teams are required to base scores on the extent to which an element is both "present" and "implemented". While these criteria are objective on paper, in reality, they often require assessors to apply their professional judgement. Indeed, the criteria work well when elements are focused on specific processes, tools, or systems, but less well when they have a broader focus. In such cases, these criteria do not constitute the most relevant or feasible basis for assessment, risking greater inconsistency in assessment teams' approaches to scoring and rating.
- **Equivalent rating and associated bias:** all elements are accorded equivalent weight when scores are aggregated to the MI level under the current approach, implying that all elements ae of equal importance to organisational effectiveness. This equal weighting is not reflective of the fact that some elements clearly focus on comparatively minor aspects of organisational effectiveness, while others focus on much more fundamental issues. This introduces a risk of bias in aggregated sources, which may be positively skewed by strong performance among elements which have only a small influence on wider organisational performance.

For these reasons, the proposed alternative approach to rating for MOPAN 4.0 does not involve assigning numeric scores to individual elements. Instead, elements are to be used as guidance for arriving at a numerical rating directly at the MI level.

To help ensure a consistent approach to rating, however, it is necessary to outline a set of guidelines about how the elements will be used to guide direct rating at the MI level, based on a careful assessment of the extent to which the evidence indicates conformity with or deviation from the elements for each MI. Given that elements define standards of best practice for each MI, this approach amounts to a guided assessment of the extent to which the evidence conforms to best practice.

The table below sets out rating principles, which are applicable to all MIs, to guide assessment teams' choice of the most appropriate rating for each MI. These rating principles, which are qualitative in nature, do not aim to cover all conceivable scenarios. This is a deliberate design feature to permit the flexible interpretation of evidence and allow for the guided application of professional judgment. For example, the distinction between 'minor' and 'significant' gaps or weaknesses has not been pre-determined, because the impact of any shortcoming will vary between organisations, and across different elements. Therefore, assessment teams will need to apply professional judgment and contextual understanding to assess the impact of any identified gaps on performance at the MI level when assigning a rating.

Table C.1. Rating Principles

Description of evidence	Associated Rating
The evidence clearly indicates that all conditions and standards captured by the elements are fully met or exceeded. The analytical narrative should clearly indicate how this is the case for each of the selected elements. There MUST be no significant gaps or weaknesses identified with respect to ANY of the elements. In addition, there MAY be examples of innovation or exceptional performance relating to one or more of the elements. Where this is the case, these should be clearly highlighted by the analytical narrative.	Highly satisfactory
The evidence indicates that most of the conditions and standards captured by the elements are met. The analytical narrative should clearly indicate how this is the case for each of the elements. A rating of 'satisfactory' means that some *minor* gaps are identified in relation to one or more of the elements, indicating that there are some areas that need improvement. These should be clearly identified in the analytical narrative. In some cases, a rating of 'satisfactory' may be given despite the presence of a *significant* gap or weakness. However, for a score of 'satisfactory' to be assigned, there MUST be evidence that the significant gap or weakness has been identified/acknowledged by the organisation AND that there are efforts underway to address this. This should be clearly described in the analytical narrative. However, IF there is evidence of several significant gaps or weaknesses, then a rating or 'satisfactory' should NOT be assigned. As with the 'highly satisfactory' category, there MAY be examples of innovation or exceptional performance relating to one or more of the elements. Where this is the case, these should be clearly highlighted in the analytical narrative.	Satisfactory
The evidence indicates that most of the conditions and standards captured by the elements are NOT met. The analytical narrative should clearly indicate which elements not met, and why. A rating of 'unsatisfactory' therefore means that there is widespread evidence of significant gaps or weaknesses relating to most of the conditions and standards captured by the elements. The analytical narrative should clearly outline these significant gaps or weaknesses. In some cases, there MAY also be evidence of isolated areas of exceptional performance and/or innovation in relation to some elements, BUT these are insufficient to have any meaningful impact on performance at the MI level. Where there are cases of exceptional/innovative performance, these should be clearly highlighted in the analytical narrative.	Unsatisfactory
The evidence indicates that NONE of the conditions and standards captured by the elements can be considered as met. This means that there are significant gaps and weaknesses identified in relation to ALL of the elements and that that any examples of positive performance are isolated and/or negligible. It is unlikely that there will be examples of isolated areas of exceptional performance and/or innovation in relation to any of the elements.	Highly Unsatisfactory

3. The analytical narrative

The rating for each MI will be supported by a detailed analytical narrative, structured around the elements. The purpose of this narrative is to provide a clear and well-rounded qualitative justification for the rating assigned at the MI level.

To ensure that assessments provide a high degree of granularity, the narrative should provide a concise, analytical summary of the available evidence relating to each of the MI's constituent elements. The purpose is to set out, for each case, whether or not the evidence indicates that the standards and conditions captured by the element have been met. The factors that need to be considered when determining whether the standards and conditions have been met will vary across elements, and some professional judgement will need to be applied in this respect.

Factors to consider for each element may include, as appropriate:

- **Presence and implementation:** while the exclusive focus on presence and implementation was a key limitation of the scoring approach under MOPAN 3.1, in many cases these criteria will remain relevant when assessing performance against elements. In particular, when an element focuses on a tangible system, mechanism, process, or policy, the narrative should indicate whether or not it is <u>present</u> in the organisation being assessed, and whether or not there is evidence to indicate that it is being implemented or used as planned. In cases where the tangible focus of an element is either not present, or not being implemented as planned, then performance should be considered as falling below the standards and conditions captured by the element.

- **Quality:** where the focus of the element is on a tangible system, mechanism, policy, or process, then the analytical narrative should also focus on its quality. This requires assessing evidence relating to the relevance and effectiveness of the tangible item in question, and the extent to which it is fit for purpose. In practice, assessing quality will require a clear description of gaps and weaknesses, and a judgment as to whether these are minor or significant.
- **Behaviours:** in many cases, elements will not (only) focus on a tangible system, mechanism, policy or process, but rather on less tangible behaviour, practice, or other aspects of organisational culture. When this is the case, the narrative should assess whether the evidence indicates that this behaviour, practice, or other aspect of organisational culture is consistently demonstrated. When it is absent, or is being inconsistently demonstrated, then performance should be considered as falling below the standards and conditions captured by the element.
- **Performance over time:** a key consideration that should be taken into account relates to the trajectory of performance. Where gaps or weaknesses relating to an issue have been acknowledged and the organisation can demonstrate clear efforts to address these, this should be reflected in the narrative. Equally, where gaps and weaknesses persist because they are either not acknowledged by the organisation, or are not being addressed, this should also be reflected in the narrative.

In addition to the above, the analytical narrative should highlight areas of exceptional performance and/or innovation where these are present.

An analytical narrative that covers the issues highlighted above will require granular and focused evidence. As such, it is crucial that data collection protocols, including interview guides, survey questions, and coding frameworks for document review, maintain a clear focus on these issues to ensure that the required information is obtained.

Table C.2 provides a detailed, indicative illustration of what this approach would look like in practice. To be as concrete as possible, it is applied to MI 3.1 and its elements, as formulated in the current Indicator Framework (MOPAN 3.), because the elements as guidance for MOPAN 4.0 have yet to be developed.

Table C.2. Fictitious example of application to a Micro Indicator in the Technical Annex

MI 3.1: Organisational structures and staffing ensure that human and available financial resources are continuously aligned and adjusted to key functions (MOPAN 3.1 methodology). **Elements:** • Organisational structure is aligned with, or being reorganised to, the requirements set out in the current strategic plan • Staffing is aligned with or being reorganised to, requirements set out in the current strategic plan • Available resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan	**Rating** Performance against this MI is assessed as **unsatisfactory (2).** Most of the indicators are not fully met, and there are several gaps and weaknesses particularly in relation to the implementation of the new organisational structure, persistent staffing shortfalls, and a lack of clarity surrounding the allocation of resources across different functional units of the organisation. These gaps and weaknesses have had a clear, negative impact on the organisation's ability to effectively deliver on its mandate. There are signs of positive performance in relation to some of the elements. In particular, the organisation has been assessed as playing ana active role in supporting UN RC systems, and in applying mutual recognition principles in key functional areas. Annual work programmes and budgets have improved over time in terms of the level of detail they provide on resource allocations.

• Internal restructuring exercises have a clear purpose and intent aligned to the priorities of the current Strategic Plan • Engagement in supporting the resident coordinator systems is appropriately in pilot countries Application of mutual recognition principles in key functional areas	However, these continue to lack specificity with respect to the distribution of posts across key functional units within the organisation, and there are persistent concerns relating to a lack of transparency in decision making relating to the allocation of core resources.

Analytical narrative

Note that the sub-headings under each element are **illustrative only**. Their purpose is to demonstrate the multidimensional nature of the analytical narrative, which should go beyond an assessment of presence and implementation, to include an analysis quality, gaps and weaknesses, behaviours, and trajectory.

Element 1: Organisational structure is aligned with, or being reorganised to, requirements set out in the current strategic plan

Presence/absence and implementation status of the element*:* The organisation's Executive Board approved a new organisational structure in X, designed to support the requirements of the current Strategic Plan. This structure reorganised the organisation around the Office of the Executive Director, and four main divisions. However, while the structure was improved, evidence from multiple sources indicate that it has not been implemented as planned. For example, multiple documents and frameworks intended to support the structure (i.e. a corporate accountability matrix, standard operating procedures, an operations manual) have not yet been fully developed. The accountability framework that was approved in X does not clearly detail the roles and responsibilities of the various functional units within the organisation.

Quality, including gaps and weaknesses): As indicated above, guiding documents and frameworks associated with the new organisational structure have not been developed, resulting in incomplete implementation. This has resulted in a significant lack of clarity in relation to roles and responsibilities, which in turn has contributed to ambiguous reporting lines and misalignment between the approved structure and the requirements set out in the Strategic Plan.

There have also been insufficient financial resources to implement the new structure, which has led to a large number of vacant posts. Several external reports reviewed for the assessment highlighted the severe impact of resource shortcomings on the organisation's ability to implement the approved structure, and the damaging impact that this had on organisational effectiveness and staff morale.

Behaviours*:* The absence of a clear accountability framework with explicit definitions of the roles and responsibilities of different functional units has resulted in poor coordination, creating internal confusion that carries the potential for conflicting activities, duplication, and neglect of certain tasks. This has had a clear impact on the organisation's ability to translate strategic goals into concrete action, resulting in diminished trust among Member States.

Trajectory of performance: The new structure was developed in 2019 and approved in 2020, and this reflected an early commitment to aligning the organisation with the requirements of the Strategic Plan. Over the course of the assessment period, however, the incomplete development of critical supportive frameworks (i.e. a clear accountability matrix, standard operating procedures, operations manual etc.) emerge as a persistent weakness. Various documentary sources, including external assessments, have indicated that misalignment, role ambiguity, and insufficient funding have progressively undermined the effectiveness of the new structure. There is recognition among senior management that these issues have had a negative impact on performance. However, at the time of writing, there was no evidence of concrete action to address these weaknesses.

Element 2: Staffing is aligned with, or being reorganised to, requirements set out in the current strategic plan

Presence/absence and implementation status of the element: Multiple sources of evidence clearly indicate that staffing levels and post distributions are not commensurate with the organisation's mandate, strategic plan, or structure. There is strong evidence that the organisation operates with a very high vacancy rate at multiple levels, including senior positions. While the new structure provided for a total of 196 posts to be covered by core funding, actual occupancy rates are far below target. Moreover, since 2023 there has been a hiring freeze in place for all regular budget-funded posts.

Quality, including gaps and weaknesses: Several external assessments have indicated that the organisation is operating with absolute minimum levels of human resource capacity. Reports from the external sources (UNBOA, OIOS) have highlighted the negative impact that these staffing shortfalls have had on the organisation's ability to deliver on its mandate and strategic plan. This impact has been particularly evident in relation to normative component of the organisation's mandate, which is heavily reliant on posts funded through core resources. As discussed below, there are widespread concerns relating to the transparency of decision making with respect to HR issues, including in relation to how scarce core-resources are allocated to fund posts. Evidence also points to concerns regarding the widespread use of consultants on short term contracts to fill capacity gaps, and the negative impact that this may have on institutional memory and knowledge.

Behaviours: The staffing issues described above have had a clear, negative effect on staff morale. Multiple sources of evidence have pointed to concern regarding unsustainable workloads for staff who are often aiming to fulfil the responsibilities associated with more than one role. This, in turn, has had a negative impact on the effectiveness of different functional units in the organisation. This includes critical functions such as those units responsible for risk management and oversight, ethics and integrity, and monitoring of the strategic plan.

Trajectory of performance: The challenges relating to staffing are chronic. Vacancy rates for posts have increased progressively, and the recent hiring freeze has worsened the staffing situation. These issues continue to affect staff morale, workload distribution, and ultimately the organisation's ability to deliver on its strategic objectives.

Element 3:Available resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan

Presence/absence and implementation status of the element: Annual work programmes and budget documents break down resource allocations by the organisation's four sub-programmes, which are aligned with the strategic plan, as well as allocations for programme support, executive direction and management, and policy making (governance) structures. However, there is little clarity surrounding the decision making through which these allocations are made, and there is no detailed explanation of how funding is determined for non-programmatic areas. Moreover, the breakdown of funded posts is only provided at the sub-programme level, without clarity on the distribution within individual functional units.

Quality, including gaps and weaknesses: The absence of detailed explanations relating to the rationale underpinning resource allocation decisions, including post distributions, results in clear transparency and accountability gaps. This issue was highlighted by multiple internal and external stakeholders consulted for the assessment. External assessments, including from the UNBOA and the JUY, have pointed to critical shortages of core resources, which has made it extremely challenging to adequately resource the organisation's core functions, including monitoring, management, advocacy, and oversight.

Behaviours: Interviews have indicated that limited and poorly allocated resources have had a severe effect on the ability of functional units to execute their mandates effectively. This included the widespread view that inadequate resources have led to operational challenges and hindered the overall performance of the organisation. Limited resource mobilisation from HQ has also resulted in country offices prioritising projects that attract earmarked donor funding, which has resulted in reduced alignment with strategic priorities. Limited and poorly allocated resources have also resulted in widespread job insecurity, with many staff forced to engage in fundraising to protect their own positions. This, coupled with the perceived opacity of decision making on core resources, has had a severe impact on staff wellbeing and morale.

Trajectory of performance: Annual work programmes and budgets have become more detailed over time, and now present overall resource estimates for each sub-programme of the strategic plan. This represents an improvement on earlier practice. However, the absence of detailed guidance and transparency on how resources are distributed internally is a recurring theme. While the availability of core resource has improved modestly in recent years, the shortfalls continue to be significant, negatively impacting the organisation's ability to resource core functions.

Element 4: Internal restructuring exercises have a clear purpose and intent aligned to the priorities of the current Strategic Plan

Analysis of presence/absence and implementation status of the element: As outlined in the analysis for element 1, the internal restructuring exercise (date) had the purpose of ensuring that the organisation had a structure that was commensurate with the requirements of the Strategic Plan. Resource constraints, however, have prevented the full implementation of this structure, and this has led to challenges in the delivery of strategic priorities.

Quality, including gaps and weaknesses: Recent evaluations have raised questions about the extent to which the approved structure was fully aligned with the priorities of the strategic plan. There are also concerns relating to a lack of clarity regarding the roles and responsibilities of the various organisational units that constitute the approved structure.

Behaviours: As indicated above absence of a clear accountability framework with explicit definitions of the roles and responsibilities of different functional units has resulted in poor coordination, creating internal confusion that carries the potential for conflicting activities, duplication, and neglect of certain tasks.

Trajectory of performance: As indicated above, the new structure was developed in 2019 and approved in 2020, and this reflected an early commitment to aligning the organisation with the requirements of the Strategic Plan. Over the course of the assessment period, however, the incomplete development of critical supportive frameworks (i.e. a clear accountability matrix, standard operating procedures, operations manual etc.) emerge as a persistent weakness. Various documentary sources, including external assessments, have indicated that misalignment, role ambiguity, and insufficient funding have progressively undermined the effectiveness of the new structure. There is recognition among senior management that these issues have had a negative impact on performance. However, at the time of writing, there was no evidence of concrete action to address these weaknesses.

Element 5: Engagement in supporting the resident coordinator systems appropriately in pilot countries

Analysis of presence/absence and implementation status of the element: The strategic plan identifies engagement in the resident coordinator system and associated coordination mechanisms as the primary entry point for country level programming. Evidence from documents indicates that despite resource limitations, the organisation has made efforts to support resident coordinator systems in countries where it is active.

Quality, including gaps or weaknesses: As indicated above, external assessments have pointed to the impact that a lack of core resourcing has had at the country level, which has included country teams prioritising projects that attract donor funding. This can detract from efforts to ensure alignment with the UNSCDF.

Behaviours: Recent external evaluations have been positive with respect to the organisation's support to resident coordinator systems at the country level. These have found that at the country level, the organisation was generally considered an active member of UN Country Teams

Trajectory of performance: No clear trajectory identified

Element 6: [UN] Application of mutual recognition principles in key functional areas

Presence/absence and implementation status of the element: The evidence indicates that the organisation applies mutual recognition principles in several key functional areas, including finance, procurement, HR, and other administrative services. Where available, the organisation uses the services of the UN Secretariat for finance, procurement, and some HR services. The organisation also uses the services of UNDP and United Nations Office for Project Services (UNOPS), particularly for engaging consultants.

Quality, including gaps or weaknesses: While mutual recognition is in place, the evidence does not provide details on the consistency or the formal mechanisms that ensure uniform application across all functions. There is no detailed evidence on how these principles are monitored or evaluated for effectiveness, suggesting an area for further quality improvement.

Behaviours: The organisation's reliance on external UN entities (such as the UN Secretariat, UNDP, and UNOPS) highlights a behavioural tendency to depend on established UN mechanisms rather than developing in-house capacities. The use of mutual recognition principles encourages a collaborative work culture by recognising and integrating the expertise of various UN bodies.

Trajectory of performance: No clear trajectory identified

Annex D. Guidance for evidence collection and analysis

1. Evidence streams and data collection

MOPAN 4 maintains the three lines of evidence applied in MOPAN 3.1 (i.e. document review, interviews, survey) but with some notable modifications and re-prioritisation based on the experiences and lessons learnt.

- MOPAN 4 would replace the linear sequential approach to evidence collection (documents, then interviews, then partner survey) with a more flexible approach whereby evidence is collected more iteratively across all three streams.
- MOPAN 4 would purposively select a limited number of documents, based on clearly defined criteria. A standard list of documents would be collected prior to the inception phase, followed by a bespoke list of MO-specific documents during and after inception.
- MOPAN 4 would require assessment teams to use IT-based tools for data extraction.
- MOPAN 4 would place greater emphasis on interviews with multiple stakeholder categories within and outside the MO, both during the inception phase and the data collection phase of the assessment.
- MOPAN 4 would apply a more succinct and targeted partner survey, with a sharper focus on who to include, and which questions to pose to whom.
- Categories of respondents and specific questions for each would be identified during inception.
- The partner survey would be launched as soon as possible after inception, so that the responses can inform other evidence streams.
- The option to conduct in-country visits will be assessed on an ad hoc basis, depending on the MO.

Approach to Evidence Collection

The approach to evidence selection in MOPAN 4 is characterised as being:

1. **Multifaceted**, applying multiple, complementary streams of evidence that support triangulation.
2. **Transparent**, by presenting a judgement of the strength of the collected evidence at MI level.
3. **Systematic** by collecting and analysing information using structured frameworks for each evidence stream -- document review, individual and group interviews and partner survey, and making a structured analysis of the aggregate, applying the different streams of evidence in a composite analytical framework and using specific techniques to validate and triangulate them, and address possible conflicting evidence.

4. **Proportional**, **efficient and cost effective** in terms of time and resources spent on different evidence streams, taking into account cost, quality considerations and value added of each evidence stream; assessment are time and resource limited and give priority to the quality rather than to the quantity of information.
5. **Timely**, in carefully sequencing the evidence collection, to ensure evidence informs the analytical process at the most opportune moment, and in terms of clarifying the cutoff point for including evidence as a basis for assessment.
6. **Locally-focused** by using country/(sub)regional level evidence against all relevant indicators generated by all three sources to the extent possible and where relevant. Assessments do not have individual country chapters, but assessments aim to capture the views and perspectives of country and regional level partners, staff and other stakeholders where relevant and feasible through different methods, including country visits as agreed with the MOPAN Secretariat.

Sampling for country- and regional-level evidence

In the event that country and (sub)regional level evidence is deemed relevant, decisions regarding sampling criteria will be made during the inception phase.

Indicative country selection criteria are presented in Table D.1 below. Although evidence collected at country and (sub)regional levels is not meant to be representative, it remains valid for the following reasons:

- Assessing whether the corporate policies, strategies and systems in place are actually applied at country level
- Triangulating and verifying information, noting discrepancies between organisational levels
- Offering insights on dimensions of the enabling environment, including corporate culture.
- Engagement with peers and partners to assess collaboration and systemwide performance.

In some cases, in-country visits can be considered. This will be determined during the inception phase, based on an appraisal that the evidence cannot be obtained to the required quality through other means. Such visits should be carefully considered based on the specific context and the potential value they add.

Furthermore, in the event that corporate functions, hitherto centralised at headquarters, have been relocated across various regional or country offices, assessments may need to adapt by ensuring that interviews and data collection reflect this **decentralised** structure. This may require more targeted outreach across multiple locations, including in-person visits to these locations.

Table D.1. Indicative Country Selection Criteria

1. MO presence in-country	Interpreted in the sense of scale and type of programming and operations, and variety of relevant partners in the country
2. Geographic spread	As appropriate for each MO
3. Mix of operating contexts	Defined to reflect key parameters for diversity. This could include income status, financial flows, socio-economic indicators, gender and development index scores, and governance and fragility indicators, inter alia.

Document Review

The document review remains a key basis for MOPAN assessments of an MO’s organisational effectiveness and the evidence of its contributions to development, normative, and/or humanitarian as well as organisational results. The document review is the primary source of evidence for the results performance area. Over time, the number of documents has grown exponentially, triggering several process- and cost-related concerns. MOPAN 4 proposes to address in two ways: i) through better guidance and focus regarding the selection of documents; and ii) though encouraging the use of IT based evidence extraction and analytical tools.

Approach and Process

The document review seeks evidence against the individual MIs and elements of the Indicator Framework to provide an analytical basis for rating, along with other evidence streams. The document review should be analytical, focusing on extracting and synthesizing key evidence from documents to inform interviews, the partner survey, the enabling environment analysis and horizontal analysis, and the Indicator Framework in the Technical Annex. Given the wide range of MOs that MOPAN assesses, no uniform approach to designing an appropriate selection of documents to review can be applied. Furthermore, the collection and review of documents is an ongoing process throughout the assessment process, whereby initial findings are used to refine the focus of subsequent evidence collection, including interviews and partner survey.

Potential use of AI-powered tools to support document review

There is scope for AI-powered tools to improve the efficiency of the otherwise highly resource-intensive document review process. The most immediately apparent use case would involve applying large language models to considerably speed up the process of identifying and extracting relevant evidence from sampled documents. This may involve the development of retrieval augmented generation (RAG) approaches. Such technology is increasingly accessible and should fall within the capability of MOPAN's service providers.

There may also be scope for using AI-powered tools for other purposes. For example, large language models could potentially be used to summarise and synthesise extracted evidence. This should be approached with caution, however, because the accuracy of large language models in performing such tasks is open to question. The results from experiments from the World Bank's Independent Evaluation Group, for instance, have found that large language models produced less accurate results when synthesising data from across multiple sources. Moreover, there is a clear benefit to having members of the assessment team involved in this aspect of the document review, to ensure a deeper understanding of the evidence and the various issues at play, which is critical to subsequent stages of the assessment process.

The use of AI tools at any stage MOPAN assessment carries inherent risks. The most significant of these include:

- **Data security:** cloud-based AI tools are generally hosted on remote data services and data centres. Ensuring compliance with existing obligations relating to data protection, including privacy and confidentiality of information, can be more difficult to guarantee when using these tools. For this reason, many organisations limit their use of online AI tools to the analysis of publicly available, published materials.
- **Accuracy:** large language models may generate incorrect or misleading results, usually referred to as 'hallucinations'. As such, their output should be carefully verified by humans, before being relied upon.
- **Trust/credibility:** AI tools – and in particular large language models - are still relatively new and rapidly developing technologies. The use of these tools can raise concerns, especially in contexts which require a high degree of sensitivity, accuracy, and judgement. As such, resistance or scepticism to use may be encountered among different stakeholders. This is

especially important for MOPAN assessments, which must be perceived as trustworthy and credible in order to remain effective tools for accountability and institutional learning.

To mitigate these risks, it is recommended that the following principles are adhered to:

- **Safe use:** any use AI tools must ensure compliance with all relevant data protection policies and legal requirements. As a general rule, only publicly available, published material should be processed using online, AI-powered tools.
- **Transparency:** assessment teams should be fully transparent about how they intend to use AI-powered tools during any stage of the assessment process. Any use should be defined and agreed in the inception stage. AI-powered tools should be used in a way that preserves the evidentiary audit trail. At a minimum, this requires maintaining the current system of clearly indicating the source of evidence derived from documentation in the Technical Annexes to the assessment.
- **Maintenance of a human in the loop:** as indicated, the output of AI-powered tools can be incorrect or misleading. As such, it is vital that all outputs are carefully checked by members of the assessment team before they are used in assessments. The process by which assessment team members will check the outputs of AI-powered tools should be agreed and recorded during the inception phase of assessments.

Step 1: Document selection and collation

A broad set of documents is screened for a MOPAN assessment, after which a reasonable number is prioritised for extraction (see step 2 below) to ensure all relevant indicators and dimensions are covered. A high volume of documentation does not necessarily mean a more robust assessment; the priority is on obtaining the key documents that speak to the indicators.

Document reviews use **purposive selection** to cover all relevant indicators, guided by a clear and consistent typology. The selection is iterative, with (i) a standard set of documents, shared by the Multilateral Organisation in advance and which should be available prior to inception ; and (ii) a bespoke list of documents, specific to each Multilateral Organisation, to be compiled by the Organisation during and after inception, at the request of the assessment team, and iii) subsequently, as needed, documents can be added, based on observed evidence gaps during the data analysis phase. Altogether, the total number should be maintained at a reasonable number to be agreed between the Multilateral Organisation, the assessment team and the MOPAN Secretariat. Document selection should be based on the parameters presented in Table D.2.

Table D.2. Document Selection Criteria

Legitimacy	• All documents must be in final form. • All documents must be recognised by the MO's management.
Accessibility	• Publicly available documentation is used (information sourced from webpages). • Where this is not directly available, MOs will be approached to provide relevant documentation.
Timing	• Strategies or other regulatory documents, regardless of level within the MO, are selected and inform the rating only if they are actively implemented during the period covered by the MOPAN assessment. Regulatory documents not yet implemented may inform the performance journey narrative, but not the rating. • Any information presented on the MO website will be retrieved within the period covered by the assessment. • As a general rule, documents for KPI 1-8 should be recent and current while documents for 9-12 may be published in the period preceding the assessment period, or in exceptional cases where the information contained therein is clearly relevant for the assessment, older.
Sub-category selection	• To select sector, regional, country or project level documentation, a specific approach should be developed and adapted for each MO

Evidence of results is taken from evaluations and management information and used primarily in analysis against the results performance area (KPIs 9-12), although evaluative evidence also often informs the assessment of other performance areas. The approach to selecting and analysing results information has been updated in MOPAN 4 (presented in a separate document).

Step 2: Data Extraction

As in MOPAN 3.1, data extraction is the first step in ensuring a clear evidence trail from data to ratings. It entails identifying and extracting evidence from documents against the Indicator Framework without any analysis.

Systematic data extraction occurs by applying a structured analytical tool and an evidence file kept as a part of evidence management. Data gaps are identified and flagged so that they can be mitigated with additional documentation or other evidence streams. The main difference between MOPAN 3.1 and MOPAN 4 is the introduction of collection and extraction of evidence to inform the analysis of the Enabling Environment (see separate document for details). Many different IT based data extraction and analysis tools exist, and the field is continuously evolving. Therefore, a recommendation for use of a specific tool is not given; instead, it is proposed to be included as a criterion in the selection of service providers.

Step 3: Analysis

Once evidence has been extracted and plotted into the analytical template, the assessment team conducts an initial analysis, as was the case in MOPAN 3.1. The main difference between MOPAN 3.1 and MOPAN 4 is the introduction of collection and extraction of evidence to inform the analysis of the Enabling Environment (see separate document for details).

Step 4: Drafting and Updating the Document Review

The initial analysis provides a first impression of the MO's performance against the Indicator Framework. It also helps to identify data gaps and, as a consequence, determines which data needs collecting through interviews, partner survey and – in some cases – country visits. It may also trigger demand for additional documents, up to the agreed cut-off point. A key difference between MOPAN 3.1 and MOPAN 4 is the introduction of collection and extraction of evidence to inform the analysis of the Enabling Environment (see separate document for details).

Interviews

Individual and group interviews constitute a key stream of evidence for MOPAN and are relevant for inception as well as the assessment phase. MOPAN 4 puts stronger emphasis on the number and breadth of interviews, with multiple stakeholders both inside and outside the MO. Hence, it will be important for teams to balance the interviews with different representative groups and organisational levels, while keeping in mind the principles of proportionality and effectiveness.

Key principles of electing candidates for interviews have thus been sharpened for MOPAN 4 and include:

1. Ensuring an optimal balance across the following groups:
    a. HQ staff and country or regional -level employees
    b. Board representatives, management, technical/professional and support staff
    c. Representation across organisational functions

   d. Representation of different peers, partner and stakeholder groups
2. Covering employees in different functions and roles across the MO
3. Prioritising interviewees with a strong, recent experience with the MO

With the added focus in MOPAN 4 on capturing information and perceptions at the country/(sub)regional levels also comes a need for more flexible methods, including use of virtual or hybrid methods.

Approach and Process

Interviews serve several purposes and need to be conducted systematically for the data gathered to have maximum validity and added value. These purposes are:

- Deepen and interrogate the evidence from the document review
- Provide contextual insight to clarify, refute and/or validate observations emerging from other lines of evidence/data sources (i.e. document review, survey data)
- Generate new evidence in areas where documentary and survey evidence are lacking
- Seek explanations (asking why and how)
- Update on any key changes since the documentation was analysed, to inform subsequent iterations of the draft assessment report

Step 1: Identification and sampling of interviewees

Interviewees are selected from multiple levels in the MO: headquarters, country, and (sub-)regional levels, both from employees and external parties, including representatives from receiving organisations and public departments, and from different stakeholder/beneficiary groups. Sampling is purposive based on discussions primarily during the inception phase of the assessment process, seeking to identify roles and areas of responsibility that apply to the MOPAN 4 Indicator Framework and to identify key individuals with overall contextual, cultural and institutional knowledge. Sampling may also be iterative and use snowball methods on the basis of lines of enquiry emerging from other interviews (i.e. following up with an individual after a group interview) or from other streams of evidence.

Key principles of electing candidates for interviews have been sharpened for MOPAN 4 and include:

1. Ensuring an optimal balance across the following groups:
   a. HQ staff and country or regional -level employees
   b. Board representatives, management, technical/professional and support staff
   c. Representation across organisational functions
   d. Representation of different peers, partner and stakeholder groups
2. Covering employees in different functions and roles across the MO
3. Prioritising interviewees with a strong, recent experience with the MO

Step 2: Interview Methods

With the added focus in MOPAN 4 on capturing information and perceptions at the country/(sub)regional levels comes a need for more flexible methods, including use of virtual or hybrid methods. All interviews follow a semi-structured framework that covers the main assessment areas relevant to the interviewee, with appropriate customisation per MO, and build on observations from the inception phase interviews, document analysis and, if available, the partner survey. This framework should be flexible and allow for raising new questions during an interview in response to interviewee statements.

Interviews at headquarters are typically conducted in person; country and regional interviews are generally conducted by phone or by videoconferencing, but field visits may be agreed if the additional cost is justified and agreed with the Secretariat.

Step 3: Data analysis and use

The information collected during interviews provides an independent stream of evidence, particularly as a source of insight, triangulation and verification, and is a key source of evidence for the overall analysis and assessment team's reflection on the internal and external factors affecting the MO's performance. Interviews are not transcribed in full; data is plotted into the composite analytical framework against relevant indicators to be included in the analysis and triangulation process.

Surveys

MOPAN 4 can draw on different types of surveys where relevant and feasible: existing MO staff and partner surveys where these exist, and MOPAN administered partner surveys. The partner survey remains a standard source of evidence in MOPAN 4, as was the case before.

At inception, availability of staff and partner surveys conducted by the MO is established and the MOPAN surveys of partners designed and developed consistent with this, guided by the stakeholder analysis.

MOPAN-designed and administered partner surveys provide an opportunity to collect other stakeholder voices in the assessment across countries of engagement and operation. The survey is targeted towards external partners and peers who have experience partnering or engaging with the MO in different contexts.

Experience with the partner survey to date has demonstrated a need for simplification and better targeting of questions to different audiences, as well as earlier and better selection of respondents. For MOPAN 4 care is taken to clearly identify respondents at the inception phase, to limit the number of questions and respondents, to target the questions clearly ensuring an appropriate mix between standard and tailored questions, with due attention to qualitative questions, and to administer the survey in a manner that maximises the response rate.

Approach and process

Delays of the launch of the partner survey has jeopardised its utility under MOPAN 3.1 and to counter this, in MOPAN 4, partners will be selected an earlier stage, i.e., during the inception phase. Building on a stakeholder analysis and aligned with the country and regional sampling for evidence described above, an indicative list of partners to be included in the survey will be identified and correspondence addresses collected.

As for the staff survey, where this has been agreed with the MO, can be to get a broader staff perspective, or to fil specific evidence gaps or avoid bias - to ensure that views gathered through interviews are broadly shared. The survey process comprises four steps:

Step 1: Respondent identification

For the staff survey, this will typically be directed at staff in specific functions, levels of authority, or geographical locations (HQ or country level) and require strong collaboration with the MO.

For the partner survey this targets peers and partners that fulfil different roles vis-à-vis the MO. The targeting is based on a stakeholder analysis and typology developed at inception. The survey tool will maintain the MOPAN 3.1 practice of screening respondents for appropriate levels of knowledge, including length and frequency of engagement and level of familiarity. The categorisation and number of respondents will vary for each MO depending on the business model, collaborative engagements, and field presence, among others. Selection may be conducted in stages with an initial longlist of potential candidates identified at inception, based on the developed typology, subsequently reduced to a shortlist of respondents with a strong and recent knowledge of the MO.

Step 2: Survey design

A select number of survey questions are customised for specific respondent groups to reflect their function within or relationship with the MO. MOPAN 4 aims to capture views and perspectives of a targeted range of partners and peers, adding greater emphasis to issues related to collaboration and systemwide engagement than was the case in MOPAN 3.1.

During the inception phase the assessment team together with the MO identifies key questions for each category of staff (where relevant) or partner respondents, recognising the MO's specific mandate, operational challenges, reform agendas, and collaboration with external partners, and taking into account documentary evidence available already. Surveys are designed in ways that minimise the burden on respondents and maximise the value of the output. The MOPAN 4 partner survey will be shorter and more succinct than the MOPAN 3.1 survey and will comprise questions targeted to the specific audience in appreciation of their engagement with the MO. Together with the careful and targeted selection of partners and respondents, these measures will help mitigate response and non-response bias[5].

Step 3: Survey administration

Key challenges for the survey in MOPAN 3.1 were related to the selection of respondents and the design, rather than to the administration, and the practice of MOPAN 3.1 in terms of administration is therefore maintained.

Surveys are administered in a contextually sensitive manner. MOPAN considers potentially difficult periods in particular contexts (i.e. holidays) to give respondents adequate time. Response rates are further increased by reminders from the survey administrator and potentially with the support of the MO.

Step 4: Cleaning and analysis of survey data

With a simplified and streamlined partner survey and a reduced number of respondents, this step is expected to be less resource intensive than during the MOPAN 3.1 assessment cycles and the proposed staff survey, where agreed, will be similarly streamlined and well targeted.

Survey data is collected and cleaned to ensure and improve the quality of responses and to produce a dataset that is ready for analysis, to be used alongside the other evidence streams.

At this stage, the number and types of actual respondents are considered in light of the diversity and coverage of participants sought in the selection process. Some discretion is used to determine whether the number and representativeness of responses is adequate for the purposes of the surveys and therefore how best to use survey information.

[5] Non-response bias occurs when some respondents included in the sample do not respond; the error comes from an absence of respondents rather than from the collection of erroneous data (= response bias).

Analysis necessarily varies depending on the MO, survey design, and responses in the dataset. Analysis initially includes frequency statistics and distributions for questions, including by respondent type. Qualitative data is also analysed and collated to better understand staff, peers and partners' perspectives in the broader analysis phase. Additional analysis may be undertaken as appropriate and guided by insights from the initial analysis and/or from other evidence streams.

Resource Implications: Applying Proportionality and Selectivity

With the introduction of new framework dimensions—such as the Enabling Environment and Horizontal analyses—assessment teams must consider not just the total effort required, but how and when to allocate resources for a robust and balanced assessment. This calls for consistent application of the principles of proportionality and selectivity across both process and methodology. For example, while the enhanced inception phase is essential, it must be carefully managed to preserve sufficient time and resources for subsequent phases. Teams should also aim for a cost-effective balance across the three lines of evidence, ensuring both utility and rigour.

Inception Phase:

The inception phase is critical for setting a focused direction and ensuring effective resource allocation. Teams should prioritise depth where it adds most value—particularly in the Enabling Environment and Horizontal themes—rather than applying equal emphasis across all areas. Preliminary findings from early document reviews and stakeholder discussions should guide theme selection and assess data availability, avoiding unnecessary investment at this stage.

This phase should also establish proportionality across assessment components—Enabling Environment, Horizontal analysis, and KPIs—and determine how best to deploy the three evidence streams. Teams are encouraged to take a selective and strategic approach, potentially benefiting from efficiency gains through the use of bespoke IT and AI tools, though their full potential remains to be explored. Continuous monitoring of resource use will be especially important under MOPAN 4, to protect time for final analysis and formulation of findings.

Evidence Collection and Analysis:

Once data collection begins, teams should continue applying a selective approach based on priorities defined at inception. This involves focusing on relevant, high-quality, and accessible evidence rather than aiming for exhaustive coverage. The depth of analysis for the Enabling Environment and Horizontal themes should reflect the specific context of the multilateral organisation. For example, if decentralisation is limited, horizontal analysis may be lighter; if significant, outreach to multiple locations may be required.

Recognising that comprehensive data collection across all indicators is impractical, teams should use sampling, targeted case selection, and focused stakeholder engagement to maintain relevance and manage workload. Documenting limitations and explaining the rationale for selected focus areas is encouraged over attempting to fill all gaps.

Enabling Environment and Horizontal Analyses:

These new dimensions add significant value but do not require uniform depth across all issues. When resources are constrained, fewer areas explored in depth are preferable to a broad but superficial review. A transparent and well-justified selection of issues will yield more meaningful insights. To ensure relevance, the identification of focus areas should involve an inclusive process with key stakeholders.

Rating and Synthesis:

During the synthesis and rating phase, proportionality remains key. A smaller volume of high-quality evidence can be sufficient to support a sound rating. Guidance emphasises the use of professional judgement, transparency, and consistency—avoiding the assumption that more data leads to better results. Synthesis should remain selective, focused on the agreed priority areas and the relevance of findings to the overall performance narrative.

Looking ahead, the above-mentioned principles will be reflected in the procurement process for future assessment teams and any additional operational guidance. Feedback from assessment teams on where proportionality and selectivity proved most challenging—or most useful—will be vital in refining a pragmatic, efficient, and effective approach.

2. Enabling environment analysis

Rationale

MOPAN acknowledges that multilateral organisations (MO) operate in a complex and dynamic environment. The underlying hypothesis of MOPAN 4 is based on a set of general assumptions that reflect MOPAN's understanding of the main components and key drivers of organisational effectiveness, the influence of the external environment, as well as the relationship between organisational effectiveness, the external environment and results:

- An MO's organisational effectiveness is influenced by the interplay between many different factors, including its enabling environment, its core purpose, its ability to adapt to change, its resources, and the parameters of the MO's organisational design. This includes aspects of the enabling environment that MOs and their members can influence.
- Organisational effectiveness reflects the extent to which MOs align their internal (e.g., resource allocation, organisational design, risk management) and external activities (e.g. operations, knowledge sharing and partnerships) to its operating context and agreed multilateral goals.
- Reinforcing the MO's enabling environment, aligning the organisation with its stated purpose, and building a conducive organisational culture, may contribute to its organisational effectiveness.
- MOs are expected to act to enhance their organisational effectiveness and results in the context of their operating environment to the greatest degree possible using evidence, allocation of resources, oversight and safeguarding, engagement with stakeholders, management of risk and attention to results achieved and their underlying drivers.

The influence of the EE dimensions on each MO will vary from dimension to dimension. Each EE dimension will be analysed separately, while the linkages between them will be explored where relevant.

The analysis of the EE is meant to provide a more robust understanding of the effect on the organisation of the various dimensions of the EE and the MO's responses to these, considering the complexity of operating environments, where both positive and negative trends can coexist. It will not directly inform the rating of the MIs in the Indicator Framework (i.e. it is not used to weight the rating up or down).

The resources dedicated to this analysis should be proportionate to the overall assessment.

Scope

To guide the analysis of the five dimensions, a list of possible areas of consideration has been developed and agreed (see below in Table D.3). They apply to all categories of MOs and are to be considered illustrative as there can be other important issues pertinent to a specific MO or MO category; moreover, the importance of the issues can also vary over time and with each MO. The list of issues has been streamlined and neutrally framed to acknowledge both challenges and opportunities in external conditions.

Sources

Several lines of evidence will be used for this analysis: primarily documentation produced by the MO itself, independent evaluations, as well as authoritative documents available in the public domain, depending on the dimension. EE areas may also be raised during the assessment interviews with MO staff and funding partners to help understand how an MO adjusts to or benefits from specific aspects of the EE dimensions. Finally, the partner survey may also be used to obtain partner perceptions about a select number of areas for consideration deemed most relevant. In the event that no or only limited data can be obtained regarding relevant areas for consideration, the analysis will explicitly state these limitations.

Process

The initial EE analysis will be conducted during the inception phase. This will serve to situate the assessment of the MO in context. During inception, the relevant areas for consideration for each dimension will be identified in close consultation with the MO, the Institutional Leads and the MOPAN Secretariat. Subsequently, the assessment team will conduct a preliminary analysis of these, resulting in a preliminary draft narrative to be included in the draft inception report that is shared with the MO for validation.

During the next phase of the assessment (the data collection and analysis phase), further information will be collected which will complement the initial analysis and together form the basis for the narrative in the Assessment report, as part of an enhanced chapter 1. As more evidence is collected during this phase of the assessment, the assessment team should consider the likely effect of the EE and examine what actions the MO has taken in response to developments in the EE's dimensions.

Presentation

The EE analysis will be systematically presented in the assessment report in two ways. Whilst MOPAN 3.1. assessment reports include short descriptive paragraphs of the MO's governance arrangements, finances and operations and organisational structure in the main report, they do not include a systematic analysis of the effect of the EE dimensions on performance nor of how the MO has adapted to changes therein. By contrast, MOPAN 4 assessment reports will cover more ground and systematically present findings in both the main report and in the Technical Annex.

At the aggregate level it is proposed that the Institutional Assessment Report (IAR) would include a chapter "Enabling Environment" (see Table D.3 below) The chapter would present an analytical narrative of the five dimensions of the enabling environment, highlighting (i) key issues and developments of each; (ii) how they have affected the MO's performance; and (iii) how the MO has responded or influenced these. The chapter would then conclude with one or more paragraphs on the implications the above might have for the MO's performance journey.

At the most granular level, the effect of the relevant dimensions of the EE on the KPI/MIs will be described in the Technical Annex, below the KPI/MI narratives (again, see table below)

Table D.3. Areas for consideration across the five dimensions of the EE

Enabling Environment Dimensions	Areas for consideration to be included in the analysis
The external operating environment	• The political context: multilateral mechanisms to effectively address global challenges, including global governance challenges. • The legal context: international law and dispute resolution mechanisms. • The socio-economic context: economic inequality between and within states, globalisation and technological transformation, climate change and sustainability, health and pandemics. • The global institutional architecture: fragmentation of the multilateral system, the balance of global powers, digital governance, enactment of mandate, voice and representation.
The external financing/ funding environment	• Funding sources: possible implication of funding trends in terms of overall volume and trends of funding from traditional and new sources. • Funding quality: predictability, earmarking, conditionality, duration of funding cycles • Funding nature, modality and instruments: innovative funding mechanisms, including results-based funding, pooled funding modalities and the requirements of climate finance instruments. • Funding complexity and diversity: donor and funding source diversity, donor preferences and prioritisation. accountability and transparency requirements, and co-financing models; leveraging private capital • Private Sector engagement: with consideration for public-private partnerships, private sector support to scale up successful interventions, financing and non-financing instruments promoting market creation, additionality, capital adequacy and optimisation of balance sheets (MDBs).
The internal governance arrangements	• Mandate and role clarity: covering formal aspects such as the statute and statutory amendments, roles and responsibilities of member states, governing bodies, chairpersons, board members, the MO's management • Composition and membership: looking at the way in which membership criteria, representation of member states, decision-making power, membership rotation and time limits are regulated. • Structure and functioning. This could include analysis of the various Governing bodies, subcommittees and working groups, and the Secretariat function, as well as meeting protocols and agenda setting. • Oversight, ethics, transparency and accountability, with consideration of the separation between Boards and Secretariat, the oversight functions, transparency mechanisms, ethics and safeguards, accountability frameworks (e.g., direct reporting to governing boards). • Decision-making, looking at matters such delegation of authority matrixes, the rules and regulations governing decision making, and conflict resolution mechanisms. • Ethics and integrity, with an analysis of the code of conduct of Board Members, conflict of interest policies, the presence and functioning of ethics committees, and presence and application of zero-tolerance policies. • Continuous improvement, i.e., the self-assessment of the Board's performance and effectiveness of governance structures.
The internal leadership practices	• Leadership is conducted by the leadership function; not "just" the head of agency. • Leadership practices, responsiveness, inclusivity, management of collaboration across diverse stakeholders, cultural contexts, and political systems *This analysis complements the key traits of effective leadership that are incorporated in the MOPAN 4 indicators framework (such as strategic vision, results orientation and direction in KPIs 1 and 2; adaptive management, transparency and accountability and delegation of authority in KPIs 1, 3 and 4, all of which are driven by the 'tone at the top').*
The internal organisational culture	• MO culture, shaped by values, beliefs, and behaviours • Alignment of culture with MO goals • Impact on employees and organisational outcomes • Key aspects, diversity, equity and inclusion, encouragement of innovation and experimentation *This analysis complements the assessment of key 'cultural' traits, including performance management, staff incentives and staff development and well-being (KPI 3), risk appetite (KPI 4), ethical standards, safeguards and behaviour, including employee trust in leadership and management (KPI 4), communication and information sharing (KPI 3, 6) and responsiveness to external partners and clients (KPI 6).*

The proposal is that the Institutional Assessment Report (IAR) includes a chapter "Enabling Environment" as per Table D.4. Hypothetical example of an EE analysis that is part of the IAR below.

Table D.4. Hypothetical example of an EE analysis that is part of the IAR

Enabling Environment Dimensions	Analysis
The external operating environment	Developments During the assessed period 202x and 202x, [MO's] operating environment has undergone profound change in several key areas. Politically, the rules-based global governance architecture, established in the aftermath of WWII, faces serious challenges to its legitimacy. These past years have seen a resurgence of power-based policies, leading to a more fragmented and competitive international system. The UN system has been hit hard by the largest budget cuts in history, diminishing its operational capacities and – hence – its role as conflict resolution mediator and responder. Meanwhile, the global recession, in combination with the increasingly alarming effects of climate change, greater political instability, and regional and domestic armed conflict, have exacerbated global poverty and inequality and led to a 28% rise in the need for humanitarian assistance to victims of conflict, natural disasters, and other hasards. Effect on [MO] [MO] has seen a dramatic increase in demand for assistance during the assessed period. At the same time, its capacities and credibility as an impartial service provider have been harmed by the 33% budget cuts and the ensuing political tensions between its leadership and some Member States. [MO] Response [MO] has significantly scaled down its assistance in most countries. Its global advocacy campaign, meant to draw attention to the adverse effects of the budget cuts, has had mixed responses, with some UN Member States calling for the [MO leadership] resignation.
The external financing/ funding environment	Developments Pre-existing funding trends, including greater dependence on extra-budgetary funding, earmarking and unpredictability, have been exacerbated by the large-scale funding cuts from major contributors during the 202x-202x period. Both the UN's regular budget and extrabudgetary contributions have dropped by 35% and 28% respectively, forcing cuts to essential programmes in peacekeeping, humanitarian aid, and sustainable development. The steep decline in assessed contributions has had adverse consequences for most UN entities. Meanwhile, although some countries have increased their extrabudgetary contributions to the UN by as much as 10 %, these tend to be geographically earmarked (driven less by conditions on the ground, and more by the donor's political interests) and unpredictable. The climate-financing institutions have seen a dramatic decline in their funding, as major donors withdrew their funding and/or redirected spending on other priorities. Although Development Banks have thus far been spared, under the current trends, this is unlikely to last. Meanwhile, other sources of financing – including philanthropic organisations and non-traditional development banks – are yet to fill the void. The global recession and growing political instability have disincentivised the private sector to engage more in private-public partnerships in LDCs. Overall, these developments have led to higher levels of competition for increasingly scarce resources and a stronger focus on humanitarian and other short-term needs. Effect on [MO] The 33% decline in [MO] budget (from $480m in 202x to $320m in 202x) has had far-reaching consequences. There have been large-scale dismissals of employees, mostly locally hired non-staff contractors in field offices. Programmatically, [MO] has been forced to scale down its climate-change related interventions by 75%. [MO] Response In response to these developments, [MO] appears to be prioritising humanitarian over sustainable development interventions. Efforts to collaborate more with UN partners, Development Banks and the private sector, have been put on hold. The [MO]'s resource mobilisation unit has been expanded, as has the external communication unit.
The internal governance arrangements	Developments Notwithstanding these developments in the external environment, the UN's overall governance arrangements have remained largely intact. Despite calls from some countries, both the UN entities themselves and most Member States have thus far opposed new and farther-reaching institutional reforms, including adjustments to entity mandates to address duplication and enhance efficiency. Meanwhile, the changing funding patterns and political recalibrations have triggered initiatives for more

Enabling Environment Dimensions	Analysis
	equitable representation of Member States in governing bodies, as well as a rebalancing of influence among Member States within these. Effect on [MO] During the assessed period, the internal governance arrangements of [MO] have undergone little change. Initiatives by the WEOG group to adjust the statute by streamlining the Board structure and reconfiguring the role and scope of sub-committees, were rejected by a majority of Members who, instead, proposed to expand the number of Board members from other constituencies, thus reducing the relative influence of WEOG countries. Response by [MO] [MO] management expressed reservations about the WEOG group proposals. At the same time, it expressed support for the proposal to enlarge the number of Board committee members, thereby rebalancing geographical representation. Meanwhile, proposals by [MO] management to the Governing Board to adjust the chain of command of several internal oversight functions, notably the office of the inspector-general and the chief Ethics Officer, were challenged by [MO's] main financing partners, with a final decision put on hold.
The internal leadership practices	Summary analysis Traditionally a highly decentralised entity with a clear and recognisable 'brand', these past years have seen some profound changes in [MO] 's outlook, 'tone at the top', and internal management structures and practices. Following the appointment of the new USG, in response to the budget cuts, most members of the senior leadership team were replaced, as part of "Transform for Impact", the structural reform initiative launched in 202x. The rearrangement of roles and responsibilities at HQ and field levels has meant that regional offices have become redundant; country directors, on the other hand, now have more responsibility, but at the same time decision-making has become more centralised. [MO]'s dominant leadership style has become more top-down / directive, in part driven by the growing sense of urgency due to the changes in the external environment. Programmatically, [MO] is shifting gear to secure its presence and relevance. While these adaptations demonstrate decisive action, they have also triggered concern among staff, other entities and some Member states, especially regarding the MO's mandate, its capabilities, and the perceived lack of transparency and dialogue.
The internal organisational culture	Summary analysis Traditionally, [MO]'s internal organisational culture has been marked by a strong, mission-driven approach, fostering a collective sense of purpose, dedication, and resilience among its global workforce. [MO] values inclusivity, collaboration, innovation and adaptability, combined with a strong emphasis on evidence-based policies. Inclusion, transparency and accountability have traditionally guide decision-making. Triggered by the developments in the external environment, as well as changes in internal leadership, these cultural traits are being challenged. The 'tone at the top' has become more directive and centralised, whereas staff and external partners are questioning the appropriateness and transparency surrounding recent organisational and programmatic decisions, including the USG's handling of the financial crisis and especially his public statements vis-à-vis [MO]'s main donors. Consequently, levels of trust in senior management appear to be declining, giving rise to a more hostile relationship between senior management and Staff Unions, as well as between senior leadership and (some) Member States.

At the most granular level, in the Technical Annex, the effect of the relevant dimensions of the EE on the KPI/MIs in questions will be described under each KPI and the MI narratives as per Table D.5 below. Please note that the outlook might change slightly with the new proposed rating approach to elements as guidance but the granularity of analysis be retained.

Table D.5. Hypothetical example of the use of the EE in Technical Annex

KPI 1 Organisational architecture and financial framework are aligned with the organisation's strategic direction and enable achievement of intended results		Rating 2.2
1.1 Strategic plan and corporate strategic results framework (CSRF) are based on a clear vision of the MO's comparative advantage that is coherent with the mandate	During the assessed period, [MO] has reviewed and updated its Medium-Term Plan (202x-202x) and the accompanying results framework. This was done during March and June 202x, shortly after the budget cut announcements of several of its main donors and the UN Secretariat. The new MTP shows a shift in programmatic and organisational priorities, with less attention for what has traditionally been [MO]'s "brand" of work across the full humanitarian-development spectrum towards a predominantly humanitarian focus. This shift in priorities is well-explained in the MTP. Although its mandate remains unchanged as such, the new MTP does mark a significant strategic change, with profound organisational consequences, both in terms of operational management (see KPI 3-4) and external collaboration (see KPI 5-6). Questions have been raised regarding the MO's comparative advantage – see survey results.	2
1.2 Strategic plan is geared towards implementation of global commitments and associated results	Both the former MTP and its successor incorporate all relevant global commitments and associated results, both in terms of policy intent and operational arrangements required. While management reports claim to have contributed to associated results, the evidence from evaluations shows that [MO] was only partially successful.	3
1.3 Organisational structure and accountability arrangements are congruent with the MO's Strategic Plan	"Transform for Impact" is an integral part of the new MTP and is, in essence, an efficiency-focused reform package. "Transform for Impact" has altered [MO]'s organisational structure and internal accountability arrangements considerably. Regional Offices have been abolished, and middle management layers, both at HQ and in the field, have been removed. Increasingly, decision-making authority is vested in senior leadership at HQ, while operationally, country directors bear greater responsibility for implementation, while having less control over resources.	2
1.4 The financial framework is aligned with the corporate strategy and corporate strategic results framework	[MO] works with one single, integrated financial framework. The MTP budget shows the amount of funds (both RB and XB) needed to achieve corporate-level results; progress reports show actual performance and include clear explanations of disparities. Resource mobilisation efforts clearly target the new strategic priorities, with staff concentrating their efforts on engaging with humanitarian donors, philanthropists and crowd-funding initiatives among the public.	3
1.5 The MO's approach to organisational change / transformation is fully aligned with its strategy, adaptive and feasible	"Transform for Impact" has been [MO]'s single-most important reform initiative in recent history. Driven largely by a need to cut expenses, Transform's scope has been narrow and its implementation hasty and ill-conceived. The reforms were not based on a needs assessment involving middle managers and partners; instead, they were developed by a small team in the Office of the USG (with support from an external consultancy firm) and communicated as a series of immediate measures to be taken. No detailed action plan was shared, nor was it clear who was in charge of the reforms and what the financial implications would be – other than envisaged efficiency gains. Consequently, [MO]'s traditional donors complain about a lack of transparency. Meanwhile, employee buy-in is low, more so following the large-scale termination of contracts of non-staff at field level.	1
ENABLING ENVIRONMENT		
EE effect on performance of KPI 1 and MO's response	Changes in the operating environment, unprecedented budget cuts, combined with new, unconventional leadership, have had a profound effect on [MO]'s strategic direction and management. The MO has responded by taking far-reaching decisions, both programmatically and organisationally, to 'stay in the game', confronting the challenges head-on but in ways that have fed controversy and friction.	N/A

3. Horizontal Linkages

In previous MOPAN approaches, analysis was conducted in a vertical, bottom-up manner whereby evidence from the granular element level was aggregated up to the MI, KPI and Performance Area levels. MOPAN 4 takes a different approach and assesses evidence vertically as well as horizontally. It recognises that organisational units and functions are interdependent and also that organisations interact closely with one another in pursuit of their objectives. This implies that understanding organisational performance requires transversal analysis, looking across different performance areas, KPIs and MIs.

The MOPAN 4 Indicator Framework contains a range of KPIs and MIs that have a clear linkage to other KPIs and MIs in the sense that they deal with the same issue or theme but from different perspectives. For example, knowledge management can be assessed from the perspective of information management, but knowledge streams are also a key aspect of the organisations' feedback loops, and it is important to see how the organisation shares and uses knowledge and develops its knowledge base. Identifying and analysing these perspectives in a more integrated manner, across multiple indicators, presents a more nuanced picture of an MO's performance and also greater opportunity for learning.

Horizontal linkage and analysis issues ("issues") can be identified and approached in different ways:

- As part of the biannual planning process with MOPAN Members, issues may be identified for all assessments, or for a particular MO-category, during that period
- Prior to or during the inception phase, MOPAN members or the MO itself may indicate one or more issues of particular importance to the MO in question
- For the development of MOPAN's thematic knowledge products, such horizontal analysis could also provide important examples to support a more theoretical analysis.

Once issues have been identified, they will need to be clearly defined, on the basis of which relevant KPI/MI/elements in the MOPAN 4 Indicator Framework can be selected, ideally as part of a consultative process involving the MO, Institutional Leads, the MOPAN Secretariat and the assessment team. At this stage of the process, it is important to adhere to the principles of proportionality and efficiency introduced for the Lines of Evidence, and be reminded that more is not necessarily better, and that it is important to examine only those MIs that are clearly relevant.

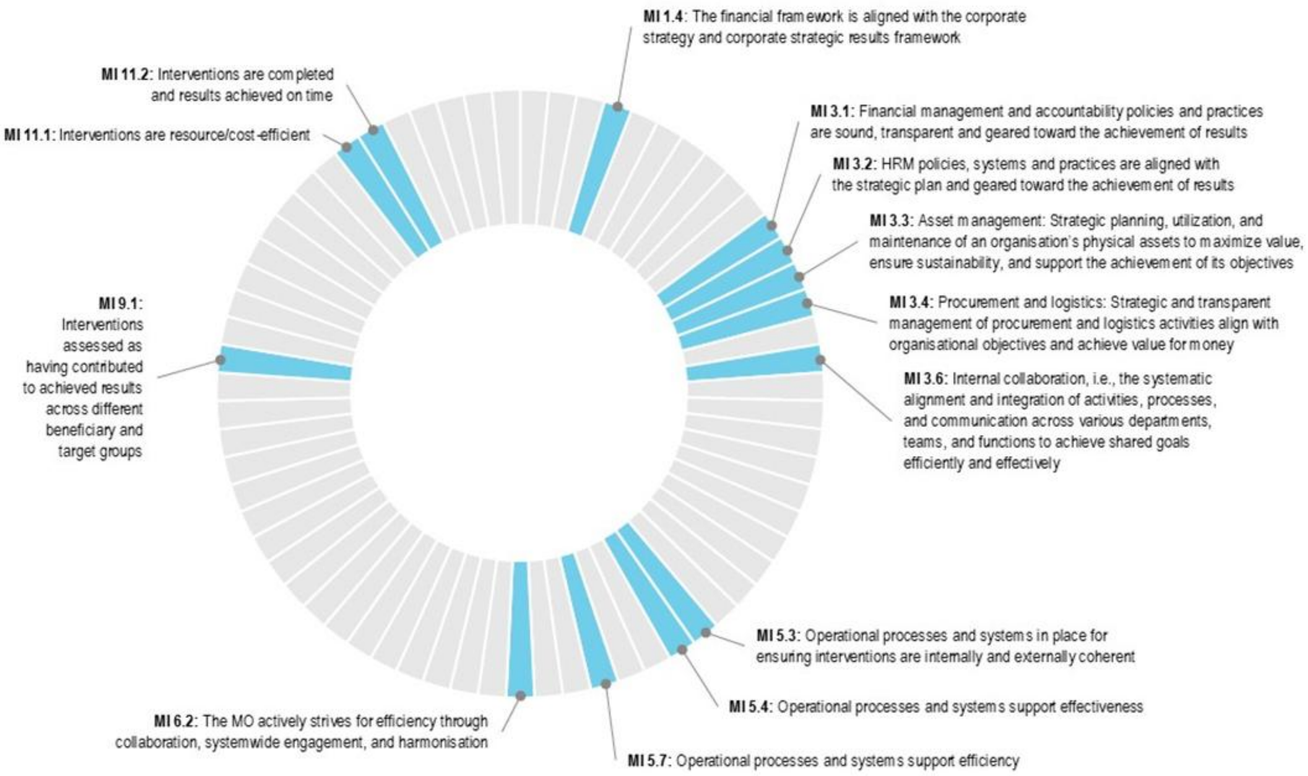
This is followed by an assessment of available evidence and the development and population of an analytical template that captures evidence at MI-level from each evidence stream. Once the analytical template is populated, the team assesses the strength and balance of that evidence to identify any gaps, biases or contradictions. Subsequently, the evidence is analysed, and emerging findings are highlighted in the Technical Annex at MI, KPI and performance area levels. These then inform the drafting of the Horizontal Linkages section in the IAR.

To illustrate what this would look like, an example is given of "efficiency" as the horizontal issue. The first step is clearly defining "efficiency" in order to identify relevant MIs. The MOPAN 4 glossary defines "efficiency" as "[T]he extent to which the intervention delivers or is likely to deliver[6]" The definition is in line with a general understanding of efficiency as maximising outputs while minimising waste of resources such as time, money or materials.

The next step is identifying relevant KPIs and MIs. For this example, the following MIs in the MOPAN 4 Indicator Framework are deemed relevant: MI 1.4; 3.1, 3.2, 3.3, 3.4, 3.6, 5.3, 5.4, 5.7, 6.2, 9.1, 11.1 and 11.2. However, keeping in mind the need to be selective and focus on the most significant, it may be decided to select only some of these issues for analysis. Some horizontal issues would indeed be covered by quite a large number of MIs and therefore, given limited resources, teams should be mindful of which MIs are the most relevant and significant for the MO being assessed, and not necessarily cover all. The dialogue at inception on these choices is an important element for assessment teams to understand the MO and the views and priorities of the stakeholders.

[6] Source: OECD-DAC: Better criteria for better evaluation – revised evaluation criteria definitions and principles for use (2023). "Economic" is the conversion of inputs (funds, expertise, natural resources, time, etc.) into outputs, outcomes and impacts, in the most cost-effective way possible, as compared to feasible alternatives in the context. "Timely" delivery is within the intended timeframe, or a timeframe reasonably adjusted to the demands of the evolving context. This may include assessing operational efficiency (how well the intervention was managed)."

Figure D.1. Hypothetical example of horizontal analysis of efficiency



It is proposed that the summary of findings from the horizontal analysis is presented in Part 1 of the assessment report as follows (to be adapted to the final report template):

Box D.1. Efficiency

The efficiency of the MO's operations is jeopardised by structural and procedural shortcomings. The lack of adequate financial mobilisation for key priorities, coupled with insufficient financial management and reporting, weakens decision-making. These financial constraints are exacerbated by inflexible budget procedures and limited delegation of decision-making authority to country-level operations, resulting in delayed project implementation, suboptimal resource allocation, and low staff morale.

Additionally, outdated IT systems create inefficiencies, as systems remain fragmented and manual transactions persist. This failure to modernise IT infrastructure prevents automation and streamlining of business processes, further reducing operational efficiency and internal collaboration which remains weak due to "silo syndrome" and financial uncertainty discouraging information sharing.

Moreover, HQ-country collaboration is not efficient, as rigid financial procedures limit responsiveness and adaptability in field operations. While the MO has seen some gains through external partnerships, its operational impact remains limited, and implementation challenges continue to delay results. Addressing these inefficiencies requires investment in IT modernisation, improved financial governance, and stronger delegation of authority to enhance decision-making and project execution at all levels.

On the positive side, the MO has leveraged shared services and system-wide collaboration to generate savings thus demonstrating the value of enhanced collaboration.

4. Approach to assessing KPIs 9-12

KPIs 9-12 differ from KPIs 1-8 in both their overall focus and assessment methodology. While KPIs 1-8 relate to the performance of a multilateral organisation's internal systems, processes, policies, behaviours etc, KPIs 9-12 focus on the organisation's contributions to development and/or humanitarian results. Assessing performance against KPIs 1-8 involves primary data collection through interviews with an organisation's staff and partners, and a partner survey. However, no primary data is collected for assessing KPIs 9-12. Instead, assessments of KPIs 9-12 rely on evidence from existing evaluations of organisations' results, and corporate results reporting.

This can be challenging, however, because both the quantity and the quality of available evaluative evidence can vary considerably across organisations. For some organisations, there is a wealth of high quality evaluative evidence available that can be used to develop a reasonably representative and in-depth assessment against KPIs 9-12. In other cases, evaluative evidence coverage is highly limited or of questionable quality, which makes assessing KPIs 9-12 particularly challenging.

MOPAN 4 seeks to explicitly recognise and address this variability through a differentiated approach to assessing KPIs 9-12, involving two stages, both of which take place during the inception phase of an assessment: i) a preliminary evaluability assessment; and ii) selection of the most appropriate approach to assessing KPIs 9-12 based on the results of the preliminary evaluability assessment. Guidance relating to each of these stages is provided below.

Preliminary evaluability assessment

During the inception phase of assessments, an evaluability assessment should be conducted to determine the quality of an organisation's evaluation coverage. The purpose of this is to assess the extent to which there is available evaluative evidence relating to the focus of KPIs 9-12.

The first step of this evaluability assessment should focus on the **independence and capacity** of an organisation's evaluation function, with a view to answering the following questions:

- Is the evaluation structurally and functionally independent?
- Does the evaluation function have the resources it needs to implement the organisation's evaluation policy and its evaluation plans?
- Does the evaluation function have a clear system for assessing the quality of all evaluations commissioned by the organisation?

This first step should be informed by discussions with relevant staff from within the organisation's evaluation function, as well as a light-touch review of the following documents, where available.

- The organisation's evaluation policy and methodology guidelines
- The organisation's annual evaluation plans for the assessment period
- Recent external assessments of the organisation's evaluation function. This may include inspections of evaluation functions carried out by the UN Secretariat's Office of Internal Oversight Services (OIOS), and peer reviews of evaluation functions carried out by the United Nations Evaluation Group's (UNEG) Peer Review Working Group (PRWG)[7].

The second step of the evaluability assessment should focus on **coverage**, including the extent to which the organisation's evaluation function conducts regular **syntheses of evaluative evidence.** This component of the evaluability assessment essentially comprises a review of available documentation. It should seek to answer the following questions:

- Does the evaluation function produce an annual synthesis of development/humanitarian[8] effectiveness? If so, does this synthesise evidence against each of the OECD DAC evaluation criteria?
- How many strategic/thematic independent evaluations, including multi-country evaluations, are available for the evaluation period?
- How many country-programme level evaluations (summative rather than process oriented) are available for the evaluation period?
- How many project-level evaluations (summative rather than process oriented) are available for the evaluation period?

Method selection

The answers to the questions addressed by the preliminary evaluability assessment should be used to select one of three different methods to assessing KPIs 9-12.

[7] Since 2004, UNEG's PRWG has conducted 27 peer reviews of evaluation functions in the following organisations: FAO, ICAO, IFAD, IOM, ITC, OIOS, UN-Women, UNESCO, UNFPA, UN-Habitat, UNHCR, UNIDO, UNITAR, UNODC, UNRWA, GEF, UNICEF, WFP, and UNDP.

[8] For example, the ADB's Annual Evaluation Review, the ITC's Annual Evaluation Synthesis Report, the World Bank's Results and Performance Report, and UNESCO's Annual Synthesis of Evaluations

Method 1: Organisation-led synthesis as the primary evidence source

This approach should be selected when an organisation has an independent, well-resourced evaluation function AND regularly produces syntheses of evaluation results covering the OECD DAC criteria.

Under this approach, which represents a 'best-case scenario', assessment teams can draw directly from an organisation's regular evaluation syntheses as **the primary source of evidence** for assessing performance against KPIs 9-12.

The assessment should also draw on evidence from strategic/thematic/multi-country evaluations to supplement evidence from regular evaluation syntheses, and to provide greater detail in relation to specific issues. For example, if an organisation has conducted a thematic evaluation of its work to support gender equality, or climate change adaptation, this is likely to be a valuable source of evidence for assessing results relating to these specific cross-cutting issues, which are covered by MIs under KPI 9. Likewise, if an organisation has conducted a thematic or multi-country evaluation focused on efforts to support national capacity development, this is likely to provide important evidence relating to certain aspects of the sustainability of results, which is covered by KPI 12. Assessment teams should apply professional judgement in determining which strategic/thematic/multi-country evaluations to draw from.

Lastly, this approach may also draw on results reported through an organisation's corporate results system (i.e. it's corporate results framework, or scorecard). The use of data from corporate results reporting systems should focus on illustrating the extent to which results targets have been met. When assessment teams do draw on data from corporate reporting systems, then it should be made clear where this data is from.

Method 2: Assessment-team led synthesis

This approach should be selected when an organisation has an independent, well-resourced evaluation function but DOES NOT regularly produce syntheses of evaluation results. In addition, for this approach to be viable, there must be a sufficient number *of* country-level, multi-country, regional, or strategic/thematic evaluations published within the assessment period. If this is not the case, then approach 3 should be used.

This approach is likely to represent the most common scenario that assessment teams will encounter. In the absence of synthesised materials produced by the multilateral organisation itself, this approach entails assessment teams conducting their own synthesis of evidence from across a sample of country level and/or multi-country/regional-level evaluations.

This will require identifying a sample of country level and/or multi-country/regional-level evaluations for synthesis. This sample should be determined during the inception phase. Inevitably, the composition of the sample will be strongly influenced by availability. For this reason, the sample should not aim to be representative in terms of an organisation's country/regional presence or its financial expenditure across different areas. Instead, a purposive sampling should be applied which aims to ensure a reasonable breadth of geographic coverage (in the case of country-level/regional evaluations) and policy/sector coverage (in the case of thematic and/or multi-country evaluations).

Once a sample has been agreed, the synthesis process can begin. The framework for synthesis is determined by the focus of KPIs 9-12, which are aligned with the OECD DAC criteria. As with the wider document review process, synthesis involves two distinct stages: data extraction, and data analysis.

Data extraction involves identifying and extracting evidence from the sampled evaluations that is relevant to the focus of the indicators under KPIs 9-12. Evidence is extracted as it appears in the source document, and the document name and page number are clearly indicated for reference. Once evidence is extracted, it is analysed using the same approach adopted by the wider document review.

As with the first approach, under this approach the teams may also draw on results reported through an organisation’s corporate results system (i.e. it’s corporate results framework, or scorecard).

Method 3: Assessment-team led synthesis with project level evaluations included

This approach should be selected when an organisation does not have a strong, independent, and well-resourced evaluation function AND/OR does not have *sufficient* country-level, multi-country, regional or strategic/thematic evaluations published within the assessment period. Some evaluations at this level may exist, but most evaluations are at the project level. The absence of a strong evaluation function in this scenario implies that the quality of evaluations is likely to vary considerably.

Under this approach, the evidence base for assessing KPIs 9-12 is very limited. In particular, there are few evaluations at the country/regional level/strategic level. The aim is for assessment teams to make best use of what is available. This means conducting a synthesis of all available evaluative material, including evaluations at the project level. Under this approach, evaluation teams should explicitly report on the limitations of the evidence base for each MI under KPIs 9-12.

As with the first two approaches, under this approach the teams may also draw on results reported through an organisation’s corporate results system (i.e. it’s corporate results framework, or scorecard).

5. Enhanced Inception Phase

MOPAN 4 introduces important changes to the inception phase, reflecting a more flexible, focused and integrated approach to evidence collection and analysis compared to MOPAN 3.1. MOPAN 4 replaces the previous linear sequence of evidence collection with a more iterative and simultaneous process, while also introducing new elements such as the analysis of the Enabling Environment (EE) and horizontal dimensions.

These changes affect the overall assessment process, but mostly the inception phase. More specifically, during the inception phase, the assessment team, together with the MOPAN Secretariat, Institutional Leads and the MO itself, will need to:

- Reach a shared understanding of the MOPAN 4 methodology and Indicator Framework
- Agree on which Enabling Environment (EE) issues to include in the EE analysis
- Agree on which horizontal issues and their related MIs shall be assessed, as needed.
- Apply a two-tier strategy to document collection and analysis
- Conduct an evaluability assessment to guide data collection for results indicators (KPIs 9–12)
- Conduct a stakeholder analysis to inform interviewee sampling
- Develop the partner survey design and list of respondents
- Determine whether alternative data collection methods are needed

It will be even more important that the MO and the Institutional Leads establish a clear understanding of the above changes and what implies for the assessment itself, both in terms of content and process, as well as related to the roles of the MO, Institutional Leads, Assessment Team and Assessment Manager at Secretariat.

Decisions regarding the enabling environment require a shared understanding of which issues per EE dimension are relevant for the MO being assessed, and then deciding what documentation or other source of information is needed to conduct the initial EE analysis.

For the Performance Area “Results” (KPIs 9-12), the assessment team will need to conduct a preliminary evaluability assessment of the documentation available and thereupon, determine the most appropriate approach to assess these KPIs.

MOPAN 4 will involve a more robust collection of interview evidence across a wider array of stakeholders. Thus, during inception, the assessment team, in consultation with the Secretariat, Institutional Leads and the MO, will conduct a stakeholder analysis across headquarters, country and regional offices, and among external partners and peers. Thereupon, an indicative selection of interviewees across the different stakeholder categories will be made, making sure that each category is adequately represented.

The partner survey planning will also commence during the inception phase, with the stakeholder analysis used to create a longlist of potential respondents. This is then refined into a shortlist, with questions subsequently tailored to specific respondent groups.

The need for in-country visits is also assessed at inception and if country or regional level visits are considered essential, decisions on sampling will be made during inception, based on agreed criteria.

In sum, the expanded scope of the inception phase will require a greater level of planning and coordination by all parties involved. Consequently, the inception could involve an extended in-person mission by the assessment team members and the MOPAN assessment manager so that all tasks can be performed and agreement reached on the subsequent phases.